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TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371				UNMC 63102	
U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5)					
INTERNATIONAL APPLICATION NO. PCT US96/16825		INTERNATIONAL FILING DATE 18 October 1996		PRIORITY DATE CLAIMED 20 October 1995	
TITLE OF INVENTION COMPOSITIONS AND METHODS FOR ENHANCING IMMUNE RESPONSES MEDIATED BY ANTIGEN PRODUCING CELLS					
APPLICANT(S) FOR DO/EO/US Sam D. Sanderson, Michael A. Hollingsworth and Richard A. Tempero					
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:					
<ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>3. <input checked="" type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).</li> <li>4. <input checked="" type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</li> <li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</li> <li>b. <input checked="" type="checkbox"/> has been transmitted by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US)</li> </ol> </li> <li>6. <input type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).</li> <li>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</li> <li>b. <input type="checkbox"/> have been transmitted by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li> <li>10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol>					
Items 11. to 16. below concern other document(s) or information included:					
11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.					
12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.					
13. <input type="checkbox"/> A <b>FIRST</b> preliminary amendment. <input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.					
14. <input type="checkbox"/> A substitute specification.					
15. <input type="checkbox"/> A change of power of attorney and/or address letter.					
16. <input checked="" type="checkbox"/> Other items or information:					
<p>Verified Statement Claim Small Entity Status</p> <p>Copy of PCT/IB/308 - notice informing applicant of the communication of the international application to the designated offices</p>					

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17. ☒ The following fees are submitted:

**Basic National Fee (37 CFR 1.492(a)(1)-(5)):**

Search Report has been prepared by the EPO or JPO.....

International preliminary examination fee paid to USPTO (37 CFR 1.482)

No international preliminary examination fee paid to USPTO (37 CFR 1.482)  
but international search fee paid to USPTO (37 CFR 1.445(a)(2))..

Neither international preliminary examination fee (37 CFR 1.482) nor  
international search fee (37 CFR 1.445(a)(2)) paid to USPTO.....

International preliminary examination fee paid to USPTO (37 CFR 1.482)  
and all claims satisfied provisions of PCT Article 33(2)-(4).....

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

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\$

Claims	Number Filed	Number Extra	Rate		
Total claims	24      -20 -	4	X 22.00	\$ 88.00	
Independent Claims	1      -3 -	0	X 82.00	\$ 0	
Multiple dependent claims(s) (if applicable)				+270.00	\$ 0

**TOTAL OF ABOVE CALCULATIONS =**

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Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement  
must also be filed. (Note 37 CFR 1.9, 1.27, 1.28).

\$ 93.00      -

**SUBTOTAL =**

\$ 93.00

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+

**TOTAL NATIONAL FEE =**

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Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be  
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**TOTAL FEES ENCLOSED =**

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Amount to be:  
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- a. ☒ A check in the amount of \$ 93.00 to cover the above fees is enclosed.
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**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:



SIGNATURE

Janet E. Reed, Ph.D.

NAME

36,252

REGISTRATION NUMBER

09/051685

**COMPOSITIONS AND METHODS FOR ENHANCING IMMUNE  
RESPONSES MEDIATED BY ANTIGEN-PRESENTING CELLS**

Pursuant to 35 U.S.C. §202(c), it is hereby acknowledged that the U.S. Government has certain rights in the invention described herein, which was made, in part, with funds from the National Institutes of Health, grant numbers CA 57362 and CA 36727.

The disclosure of commonly-owned, co-pending U.S. Application Serial No. 08/299,285, is incorporated by reference herein.

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**FIELD OF THE INVENTION**

The present invention relates to the field of vaccines and stimulation of acquired immunity. In particular, the present invention provides novel compositions designed to deliver specific antigens to antigen presenting cells and simultaneously deliver signals to those cells that produce a desired immune response.

**15 BACKGROUND OF THE INVENTION**

Several publications are referenced in this application by numerals in parenthesis in order to more fully describe the state of the art to which this invention pertains. Full citations for these references are found at the end of the specification. The disclosure of each of these publications is incorporated by reference herein.

The basis of acquired, specific immunity in an organism is the ability to discriminate between self and non-self antigenic substances. The mammalian immune system uses cell surface molecules known as the major histocompatibility complex (MHC) for discriminating between self from non-self. There are two classes of MHC molecules: Class I molecules are found on all nucleated

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cell types in the body; Class II molecules are found mainly on cells involved in producing immune responses. Most specific immune responses are generated against peptides or peptide derivatives associated with MHC molecules.

The structure of MHC molecules is such that they naturally bind small peptides, glycopeptides, phosphopeptides, and the like. One important function of MHC molecules is to bind peptides that are derived from processed products of proteins expressed in cells expressing the MHC molecules, and to transport these to the cell surface for display to the immune system. In this way, some MHC molecules function to expose the immune system to peptides that are representative of normal cellular proteins. This process occurs during development, when self is learned, and continues throughout the organism's lifespan. Different mechanisms of immune tolerance prevent the organism from responding to "self" peptides associated with MHC.

The introduction of non-self proteins into cells results in the appearance of new and different peptides in association with the MHC molecules; these are recognized as "non-self," resulting in an immune response. For example, viral infection of a cell will result in the production of viral peptides expressed on the surface of antigen-presenting cells in association with MHC molecules (generally Class I MHC). Viral peptides presented with MHC molecules at the cell surface will often be recognized as foreign and an immune response will be mounted. Autoimmune disease can occur if tolerance to some self peptides is lost, or if immune response is produced against viral or other foreign proteins that cross react with normal peptides in the host organism.

In the case of bacterial infections or other insults from external sources, new proteins or compounds enter the organism. Some cells involved in the immune

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response are capable of phagocytosing foreign organisms or proteins. These immune cells degrade (process) the protein products and the derived peptides are expressed at the cell surface in association with MHC molecules, where a specific adaptive immune response is generated against novel non-self components. This activity is called antigen processing and presentation and cells that mediate this activity are called Antigen Presenting Cells (APC's). Many different immune cell types, including macrophages, dendritic cells, B cells, and other associated cell types, perform this function.

Antigen alone is often insufficient to produce an immune response. Sometimes, antigen must be presented with accompanying "signals" that are mediated by ligand-receptor interactions between the APCs and the responding lymphocytes or between these cells and soluble factors that are present in the surrounding environment. The soluble factors include cytokines and other mediators of inflammation that are usually present at sites of infections or insult (complement, kinins, other growth and cytokine factors). The signals can be positive in nature, resulting in lymphocyte proliferation and generation of an adaptive immune response, or negative in nature, resulting in apoptosis of responding lymphocytes and perhaps immune tolerance to that antigen. Antigen presentation often occurs in the presence of helper T cells or other cell types that secrete arrays of cytokines, which influence or determine the type of immune response that is induced. At a cellular level, specific immune responses are generated in a mixed cellular environment that includes different types of antigen presenting cells, helper T lymphocytes, other types of regulatory cells, and the responding lymphocytes (B cells for antibody responses and T cells for cellular responses). Direct recognition of peptides by T cells can also occur with some cell types, such as allografts, where the allogeneic MHC is directly recognized as

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foreign.

Antigen processing and its impact on types of immune responses to specific antigens. The mechanism by which antigen is processed and presented and the parameters that determine the types of immune responses that are generated (antibody versus cellular) are at present not well understood for many antigens. It is believed that there are different classes of APCs that can produce different types of immune responses. In general, APC-induced responses to exogenous antigens that are taken up by endocytosis are believed to be presented to the immune system in the context of Class II MHC and lead to recruitment of T helper cells that interact with B cells and ultimately produce an antibody response. In contrast, endogenous peptides from cells associate with MHC Class I molecules and produce cellular activities that include cytotoxic T lymphocytes (CTL) and Delayed Type Hypersensitivity (DTH) T-cells. There are important exceptions to these mechanisms. For example, many CTLs reactive with exogenous peptides have been described, and it is possible to generate CTLs to specific peptides that have been added to *in vitro* cultures of immune cells.

Other factors can determine the types of immune responses that are generated. For example, the nature of peptide association with MHC (either Class I or Class II) is an important factor that influences types of immune responses. In the case of Class I MHC molecules, there are specific binding motifs for peptide association (Rammensee et al, Ann. Rev. Imm. 11: 213, 1993). Binding motifs have been established for H-2 K<sup>d</sup>, K<sup>k</sup>, D<sup>d</sup>, and other murine and human MHC. There are also parameters of peptide sequence that determine affinity for class II MHC. Thus, the types of peptides to which an individual can mount an immune system response are in part determined by the immunogenetic genotype and phenotype, which establish the shape and structure of the MHC

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molecules expressed by that individual.

In summary, the types of immune response that are generated in an organism in response to antigenic challenge is the result of a myriad of contributing factors, including: the immunogenetic background of the individual, prior sensitization to antigens, the route and form of antigen exposure, age and gender of the organism, and other factors. Almost all acquired immune responses that involve specific T-cell recognition are directed toward small peptides bound to the peptide binding groove of MHC molecules, the obvious exception being the response to superantigens. Cellular immune reaction (T-helper reaction, CTL, DTH) to peptides bound to MHC are usually generated through presentation of the antigen to T cells by antigen-presenting cells (APCs).

**Tumor Vaccines.** Cancer cells express aberrant molecules known as tumor-associated antigens. The immune system has the potential to recognize such structures as "foreign" and to mount specific immune responses against them, so as to reject tumor cells in much the same way that an allograft is rejected. This provides the basis for interest in the development of active specific immunotherapeutic (ASI) agents (cancer "vaccines") based on cancer-associated antigens.

Early studies on rodent tumors induced by chemical carcinogens, ultraviolet radiation, or viruses showed induction of immunological rejection of secondary tumor challenge. Subsequent studies on spontaneous tumors showed that these animals were incapable of inducing immune-mediated rejection of the tumor. Although a large number of human tumor-associated antigens have been characterized, most of these are also expressed by some normal cells. Therefore, immunological tolerance to such molecules makes it difficult to stimulate responses against such antigens. Moreover, it is a concern that induction of strong immune responses

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against self molecules may result in the development of autoimmune disorders. Since tumor-specific antigens are seldom detected in spontaneous cancers, approaches to develop active specific immunotherapy for common cancers, based on tumor-associated antigens, have been viewed with pessimism.

Nonetheless, interest in tumor immunology and the development of ASI in particular has persisted. There are at least four reasons for the current interest in ASI approaches. First, cell-mediated immune responses have been recognized as the key factor in immunological rejection of cancer. T cells recognize processed peptides in association with major histocompatibility complex (MHC) molecules, so intracellular proteins can give rise to peptide targets for cell-mediated responses. Further, since antigen processing and presentation are critical steps in T cell recognition, cancer-associated alterations (in its post-translational processing or levels of expression) of a self protein may result in presentation of novel peptide fragments on cancer cells. Secondly, tumor specific point mutations in certain genes have been characterized in several animal and human cancers. Some of these mutations generate novel peptide fragments that bind MHC molecules resulting in the production of new epitopes for recognition by T cells. This process allows for the induction of specific immune responses against cancer cells carrying such mutations. Third, manipulation of immune responses using cytokines, mutated antigens, and other means have sometimes resulted in tumor rejection even in cases of tumors that express weakly immunogenic antigens. Fourth, some individuals with severe immunodeficiencies have a higher incidence of tumors than the normal population, suggesting that the immune system plays an important role in eliminating some tumors.

Various methods have been utilized for stimulating general immune responses, especially for non-

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antigenic or weakly antigenic substances of interest. For example, adjuvants, such as complete Freund's and Ribí's, have long been used for this purpose. These adjuvants comprise oily solutions containing components, such as lipopolysaccharides that stimulate generalized immune responses. It is believed that the oils surround a water-soluble antigen, such as a peptide, thereby protecting it from degradation in the body and facilitating phagocytosis and passage through cell membranes of antigen presenting cells.

Another approach to stimulating the immunogenicity of a weakly-antigenic peptide or protein has been to couple the weak antigen to a carrier protein that is known to be a good immunogen. Common carrier proteins include keyhole limpet hemocyanin, fowl gamma-globulin and bovine serum albumin. Alternatively, the immunogenicity of a weak antigen may be enhanced by polymerizing it into large aggregates by way of cross-linking agents, such as glutaraldehyde. Both these methods rest on the notion that a weak antigen coupled to a strong antigen will enhance the generalized immune response. In a similar method, solid-phase resins and peptide synthetic methods may be employed to synthesize a peptide repeatedly, to form a highly-branched complex. Again, the basis for this approach is to present the antigen in very unusual (and very "non-self") context to the immune system, to stimulate antibody production.

In yet another approach, a weakly antigenic protein or peptide is attached to a solid particle such as a latex bead or resin. The purpose of this approach is to enhance phagocytosis of the antigen by macrophages. Additionally, peptides and proteins have been encapsulated in liposomes to enhance passage through membranes of antigen presenting cells, to enhance phagocytosis and to stimulate generalized immune responses because of the "non-self" characteristics of the liposome carrier.

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5           The approaches described above have met with  
varying degrees of success in stimulating the  
immunogenicity of weakly antigenic or non-antigenic  
substances. However, they provide only a generalized  
stimulation of immunity, and are not designed to target  
10 specific populations of immune system cells (such as  
antigen presenting cells). A desired objective in  
effecting therapeutic intervention in various disease  
states is to provide a means for specifically targeting a  
protein or peptide to a population of antigen-presenting  
15 cells and thereby stimulate those cells to internalize  
the antigen of interest and present it to the immune  
system in an effective, specific context. Insofar as it  
is known, such a system is not currently available.

20   **SUMMARY OF THE INVENTION**

          The present invention provides novel  
compositions and methods for delivering specific antigens  
to antigen-presenting cells, and simultaneously  
delivering signals to those cells that produce a desired  
25 immune response. The compositions of the invention are  
sometimes referred to herein as "APC-targeted activating  
antigens."

          According to one aspect of the invention, these  
APC-targeted activating antigens, which elicit an immune  
response mediated by an antigen-presenting cell, comprise  
30 at least one antigenic moiety functionally linked to at  
least one targeting moiety that binds specifically to a  
characteristic determinant on the antigen-presenting  
cell. For purposes of the present invention, the term  
35 "functionally linked" is defined generally as linking of  
the moieties in such a way that each moiety retains its  
intended function. This is particularly relevant with  
respect to the targeting moiety, which is designed to  
bind to a characteristic determinant on the antigen-  
40 presenting cell.

          Antigen-presenting cells contemplated for

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targeting according to the present invention include, but are not limited to, monocytes, dendritic cells, macrophages, B cells and some T cells. In preferred embodiments of the invention, the characteristic determinant on the selected APC is a cell surface receptor and the targeting moiety of the APC-targeted antigen is a ligand that binds to the receptor. It is particularly preferred that the cell surface receptor be an immunomodulatory receptor. Suitable cell surface receptors include, but are not limited to, C5a receptor, IFN $\gamma$  receptor, CD21 (C3d) receptor, CD64 (Fc $\gamma$ RI) receptor, and CD23 (Fc $\epsilon$ RII) receptor.

One exemplary APC-targeted antigen of the invention is designed to bind to the C5a receptor, and the targeting moiety is a C5a receptor ligand, which is preferably a peptide analog of C5a corresponding to the C-terminal 10 residues of C5a. Another exemplary composition of the present invention is designed to bind to the IFN $\gamma$  receptor, and comprises a targeting moiety which is a IFN $\gamma$  receptor ligand, preferably a peptide analog of IFN $\gamma$  corresponding to the N-terminal 39 residues of IFN $\gamma$ .

The antigenic moiety of the APC-targeted antigens of the invention can comprise essentially any antigenic substance, including, but not limited to, peptides and proteins, glycopeptides and glycoproteins, phosphopeptides and phosphoproteins, lipopeptides and lipoproteins, carbohydrates, nucleic acids and lipids. The APC-targeted antigens can comprise more than one antigenic moiety, and likewise can comprise more than one targeting moiety. Moreover, these moieties can be functionally linked in several fashions. For instance, if "T" represents a targeting moiety, and "Ag" represents an antigenic moiety, the APC-targeted antigens of the present invention may be oriented as follows:

Ag - T;

T - Ag;

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 $T_1 - Ag - T_2;$ 

$T_1 - [Ag]_n - T_2$  (wherein  $[Ag]_n$  represents a multiplicity of antigens.

5 Examples of the general formulas set forth above include:

Ag - C5a agonist peptide;

IFN $\gamma$  peptide - Ag;

IFN $\gamma$  peptide -  $[Ag]_n$  - C5a agonist peptide.

10 According to other aspects of the present invention, methods are provided for using the APC-targeted antigens of the invention. These include methods of activating an antigen-presenting cell with a targeting ligand and methods of eliciting an antigen  
15 presenting cell-mediated immune response in a subject in which such a response is desired. General methods of immunizing or vaccinating a patient requiring such treatment, methods of treating a tumor, and methods for producing antibodies specific for a pre-determined  
20 antigen for use as research tools or for diagnostic purposes are also contemplated to be within the scope of the present invention.

The numerous features and advantages of the compositions and methods of the present invention are  
25 described more fully in the detailed description set forth below.

#### BRIEF DESCRIPTION OF THE DRAWINGS

Figure 1 is a graph illustrating the antibody titer  
30 produced in mice immunized with the indicated peptide constructs, as determined by radioimmunoassay, and shows the relationship between the amount of  $^{125}$ I-goat anti-mouse antibody bound vs. the dilution factor of mouse sera which had been incubated in microtiter wells coated with  
35 the MUC1 epitope peptide.

Figure 2 is a graph illustrating the increase in

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5 antibody titer in the sera of mice collected either  
before (pre) or after immunization with peptides 3  
(YKQGGFLGLYSFKPMPLaR) (SEQ ID NO:2) and 4  
(YSFKPMPLaRKQGGFLGL) (SEQ ID NO:5) as determined by  
radioimmunoassay and shows the relationship between the  
10 amount of <sup>125</sup>I-goat anti-mouse antibody bound and the  
dilution factor of mouse sera which had been incubated in  
microtiter wells coated with MUC1 epitope peptide. Note  
that peptides 3 and 4 comprise two moieties, a targeting  
ligand and an antigen to which an immune response is desired.

15

Figure 3 is a graph illustrating the titers of  
antibody classes and subclasses produced in mice  
following immunization with peptide 3  
(YKQGGFLGLYSFKPMPLaR) (SEQ ID NO:2) as determined by  
20 ELISA using rabbit anti-mouse IgA, IgG1, IgG2a, IgG2b,  
IgG3, and IgM, followed by goat anti-rabbit conjugated to  
peroxidase and detected using p-nitrophenyl phosphate  
cleavage monitored at 405 nm.

25

Figure 4 is a graph illustrating the specificity of  
binding of the antibody subclasses in sera from mice  
immunized with peptide 3 (YKQGGFLGLYSFKPMPLaR) (SEQ ID  
NO:2) as determined by ELISA using binding to microtiter  
wells coated with MUC1 epitope peptide and detection with  
30 rabbit anti-mouse IgG2a, IgG2b, or IgM followed by  
incubation with goat anti-rabbit conjugated to peroxidase  
and detected using p-nitrophenyl phosphate cleavage  
monitored at 405 nm.

35

#### DETAILED DESCRIPTION OF THE INVENTION

40

A major obstacle in the development of vaccines  
and other immunostimulatory agents is the inability of  
some antigens to be readily taken up and processed by  
antigen presenting cells. Uptake of antigens by APCs is  
an essential step for stimulating an effective immune  
response, since the immune system recognizes the antigen

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only after it has been processed by the APC and presented on the surface of the APC in conjunction with the major histocompatibility complex (MHC).

It is known that APCs, including dendritic cells, monocytes, macrophages and B cells, possess functional receptors for numerous molecules that modulate the immune response. It has now been discovered in accordance with the present invention that ligands which bind to these receptors can be conjugated to weakly immunogenic antigens for example, as a way of delivering antigens to the antigen presenting pathway of the APC and simultaneously activating the antigen presenting capacity of the APC. Thus, these conjugates bind to a receptor on the APC surface, transduce a biological signal, and are internalized by the APC. The antigenic moiety of the conjugate is thereby delivered to the antigen presenting pathway of the APC along with the simultaneous activation of the APC.

The above-described conjugates are sometimes referred to herein as "molecular adjuvants" or "APC-targeted activating antigens." The APC-targeted activating antigens of the invention are designed to elicit immune responses mediated by one or more types of antigen presenting cells. Accordingly, an APC-targeted activating antigen comprises at least one antigenic moiety linked to a targeting and activating moiety that binds specifically to at least one characteristic determinant on the selected antigen presenting cell type. This binding is followed by internalization of the APC-targeted antigen and results in presentation of the antigen moiety on the surface of the APC. For purposes of the present invention, the term "antigenic moiety" may refer to any substance to which it is desired that an immune response be produced. The selected antigenic moiety may or may not be capable of eliciting an immune response by conventional means.

The term "determinant" is used herein in its

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broad sense to denote an element that identifies or determines the nature of something. When used in reference to an antigen presenting cell, "determinant" means that site on the antigen presenting cell which is involved in specific binding by the targeting ligand moiety of the molecular adjuvant of the invention.

The expression "characteristic determinant" as used herein, signifies an epitope (or group of epitopes) that serves to identify a particular population of antigen presenting cells and distinguish it from other antigen presenting cell populations. Cell-associated determinants include, for example, components of the cell membrane, such as membrane-bound proteins or glycoproteins, including cell surface antigens, histocompatibility antigens or membrane receptors.

The expression "specific binding", as used herein refers to the interaction between the targeting ligand moiety and a characteristic determinant on the antigen presenting cell population sought to be activated in accordance with this invention, to the substantial exclusion of determinants present on other cells.

Certain exemplary compositions of the invention have been synthesized, and have been shown to elicit APC-mediated immune responses in accordance with the mechanisms described above. For example, antigenic epitopes have been conjugated to the amino-terminal end of a C5a decapeptide agonist capable of binding to C5a receptors present on the surface of many APCs. Mice that were inoculated with an epitope of human MUC1 (a cell surface-associated mucin) conjugated to such a C5a agonist exhibited pronounced antibody titers against the MUC1 epitope, including high titers of specific antibodies with isotypes IgG2a and IgG2b. Mice that were inoculated with (1) MUC1 epitope alone, (2) C5a agonist alone, (3) unconjugated MUC1 epitope and C5a agonist together, or (4) C5a agonist conjugated to MUC1 epitope in a manner in which the biological activity of the C5a

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moiety was blocked, did not express a significant specific immune response. These results are described in greater detail in Example 1. Similar results were observed with conjugates of C5a agonist to a 12 kDa polypeptide, serum amyloid A (SAA), as described in greater detail in Example 2. These data tend to demonstrate the feasibility of the invention, which is to use receptor-binding ligands as a way to deliver antigens to APCs, with the simultaneous activation of APCs by the ligand moiety.

As described in greater detail below, the C5a receptor is only one of many receptors expressed on APCs. This invention encompasses the use of various ligands with selectivity to other receptors that mediate signal transduction events in the APCs, to be used alone or in conjunction with C5a agonists to influence the nature of immune response generated, i.e., humoral, cellular, Th1, Th2, and the like. Vaccines and other immunotherapeutic agents can be prepared with an array of such targeting moieties that serve to target the antigen moiety to a specific population of APCs and simultaneously activate these and other cells involved in various immune modulatory pathways.

The detailed description below sets forth preferred embodiments for making and using the targeted antigens of the present invention. To the extent that specific compounds and reagents are mentioned, these are for the purposes of illustration, and are not intended to limit the invention. Any biochemical, molecular or recombinant DNA techniques not specifically described are carried out by standard methods, as generally set forth for example, in Ausubel et al., "Current Protocols in Molecular Biology," John Wiley & Sons, Inc., 1995.

## **I. Preparing APC-Targeted Activating Antigens**

### **A. Selection of Components**

Antigen presenting cells have various receptors



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on their surfaces for known ligands. Binding of ligands to these receptors results in signal transduction events that stimulate immune or tolerance responses. Many of these receptors are known to internalize and recycle in the cell. Others are suspected of doing the same. As such, these receptors are ideal targets for delivering antigens and activation signals simultaneously to APCs.

As discussed above, APCs include several cell types including macrophages, monocytes, dendritic cells, B cells, some T cells and other poorly characterized cell types. It is believed that these different classes of APCs can produce different types of immune responses. Accordingly, by targeting a receptor prevalent on a specific population of APCs, a particular desired immune response may be favored. An exemplary list of receptors contemplated for targeting in the present invention, and the rationale for their selection, is set forth below. These APC receptors are particularly appropriate for use in the present invention based on the following criteria: they are receptors expressed on APCs; the receptors are internalized upon binding of ligand; the receptors can transmit signals in the cells that influence antigen processing and presentation by these cells; some of the receptors are believed to be involved in signaling Th1 type cellular responses, whereas others are predicted to generate Th2 type humoral responses. The list set forth below is not exhaustive, but merely representative of the type of targeted receptors preferred in practicing the present invention. Other receptors, or other cell-surface characteristic determinants on antigen presenting cells may also be used as targets for the targeted antigens of the present invention. The receptor or other characteristic determinant need not be directly involved in the immune response.

**C5a receptor.** This receptor is preferred for use according to the present invention. It is present on PMNs, macrophages, dendritic cells, smooth muscle cells

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and some mast cells. A number of biological activities have been ascribed to C5a, mostly associated with inflammatory and immune responses. According to a preferred embodiment, this invention relies on the capability of C5a, as a targeting ligand, to specifically bind to its cognate receptor, so as to activate antigen presenting cells, including macrophages, monocytes and dendritic cells, through a G protein-mediated signal transduction pathway. Subsequent to signal transduction, the receptor/ligand complex is internalized. In the case of dendritic cells, C5a has been shown to induce a Th1 type response.

**IFN $\gamma$  receptor.** The interferon  $\gamma$  receptor is expressed on macrophages, monocytes, dendritic cells, other APCs, some B cells, fibroblasts, epithelial cells, endothelium, and colon carcinoma cells. IFN $\gamma$  binding to its receptor induces macrophage and dendritic cell activation, B cell differentiation, and expression of MHC class I and class II molecules in many cell types. The receptor is involved in signal transduction pathways. IFN $\gamma$  is mainly produced in the body by activated T cells, particularly during the generation of Th1 type response. It is also produced by CD8+ cytotoxic T lymphocytes following recognition of antigen associated with MHC class I and by natural killer cells stimulated with TNF $\alpha$  and microbial products (Barclay et al. 1993,).

**CD 21 (C3d receptor).** CD 21 is the receptor for the C3d complement fragment. It is a receptor for the Epstein-Barr virus and may be an important interferon  $\alpha$  receptor (Barclay et al., supra). CD 21 is expressed on B cells, follicular dendritic cells, other APCs, pharyngeal and cervical epithelial cells, and some thymocytes. It is involved in activation and proliferation of B cells through a signal transduction mechanism and it has been associated with increases in antigen presentation activities by those cells.

**CD 64 (Fc $\gamma$ RI receptor).** CD 64 is a high

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affinity receptor for IgG, the only known receptor that binds monomeric IgG (Barclay et al, *supra*). This receptor is found on macrophages, monocytes and other immune cell populations treated with IFN $\gamma$ . The IgG<sub>1</sub> binding site resides in the CH2 domain. IFN $\gamma$  strongly upregulates expression of this receptor, which is the primary receptor involved in antibody-dependent cell mediated cytotoxicity reaction, and phagocytic activity by these cells.

**CD 23 (Fc $\epsilon$ RII receptor).** CD 23 is a low affinity receptor for IgE (not related to the high affinity IgE receptor found on basophils and mast cells). It is found on some B cell populations, macrophages, eosinophils, platelets, and dendritic cells (Barclay et al, *supra*). CD 23 mediates IgE dependent cell mediated cytotoxicity and phagocytosis by macrophages and eosinophils, and binding of IgE immunocomplexes increases the efficiency of antigen processing and presentation by some APCs, through a signal transduction mechanism that includes the p59 fyn tyrosine kinase. The ligand for CD 23 is the C $\epsilon$ 3 domain of IgE.

As mentioned above, the APC-targeted antigens of the present invention comprise at least one antigenic moiety and at least one targeting moiety. The targeting moiety can be derived from naturally-occurring ligands for a selected receptor on an APC, or analogs and derivatives of such ligands. For instance, the C5a receptor is a preferred receptor for use in practicing the present invention. Naturally-occurring C5a can be utilized as the targeting moiety in the APC targeted activating antigens of the invention. However, native C5a is not preferred for use as the targeting moiety as it induces a myriad of pro-inflammatory responses which may have undesirable side effects. In particularly preferred embodiments of the invention, C-terminal C5a agonist analogs capable of C5a receptor binding and signal transduction in a response selective manner are

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5 utilized. Such analogs are described in detail in  
commonly-owned U.S. Application Serial No. 08/299,285,  
the entire disclosure of which is incorporated by  
reference herein.

10 An exemplary C5a C-terminal decapeptide agonist  
preferred for use in the present invention is:

YSFKPMPLaR (SEQ ID NO:1)

15 This decapeptide is a potent agonist of naturally  
occurring C5a, and is preferred to naturally occurring  
C5a because its small size contributes to ease of  
synthesis and solubility. Moreover, these  
conformationally biased peptides are stable toward serum  
carboxypeptidase digestion, express a level biological  
selectivity, and have been shown to be non-toxic in high  
concentrations in athymic mice.

20 Peptide analogs of naturally-occurring  
interferon  $\gamma$  are also contemplated for use in the present  
invention. Peptides corresponding to the amino terminal  
39 amino acids of IFN $\gamma$  have been shown to compete for  
binding with native IFN $\gamma$ . Antibodies against this domain  
25 block biological activity, and removal of the first 10  
amino terminal residues eliminates biological activity.  
This suggests that binding of IFN $\gamma$  to its cognate  
receptor is mediated by this portion of the molecule.  
Accordingly, peptides based on this domain are  
30 contemplated to be of use for delivering antigens to APCs  
expressing IFN $\gamma$  receptors. In this regard, it should be  
noted that human and mouse IFN $\gamma$  are absolutely species  
specific in binding and activity. Consequently, for  
stimulating APC-mediated immune responses in mice, the  
35 mouse peptides will be utilized, and the human peptide  
will likewise be utilized for stimulating APC-mediated  
immune responses in humans. The mouse IFN $\gamma$  39 amino acid  
peptide analog is composed of the following sequence:

HGTVIESLESNNYFNFFGIDVEEKSLFLDIWRNWQKDG (SEQ ID NO:3)

40 The human IFN $\gamma$  39 amino acid peptide analog is composed  
of the following sequence:

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5 QDPYVKEAENLKKYFNAGHSDVADNGTLFLGILKNWKEE (SEQ ID NO:4)

Another ligand contemplated for use in the present invention is the C3dG component of complement. This component is a 348 residue fragment derived by proteolytic cleavage from the C3b precursor (residue 955-1303 of C3; Swissprot accession p01024). C3dG can be converted to C3d (residues 1002-1303) and C3g (residues 955-1001). C3dG and C3d remain associated with non-activator surfaces and serve as opsonins for phagocytosis by macrophages and other antigen presenting cells. Cd 21 is the C3dG and C3d receptor.

The above-listed ligands exemplify the type of ligand preferred for practice of the present invention. However, it will be appreciated by those skilled in the art that other ligands may be utilized as the targeting moiety of the APC-targeted antigens of the invention. These include ligands that are already known in the art, as well as ligands that may be discovered and developed henceforth. Antibodies or antibody fragments also may be used to target APC-specific cell surface antigens.

The type of antigen that can be chosen as the antigenic moiety in the present invention can be any peptide, polypeptide or derivative thereof for which an immune response or antibody production is desired. These include but are not limited to, peptides, polypeptides (i.e. proteins) and derivatives thereof, such as glycopeptides, phosphopeptides and the like. Synthetic peptide and polypeptide derivatives or analogs, or any other similar compound that can be conjugated to a receptor-targeting moiety can be used in the present invention. Moreover, these peptides, proteins and derivatives may comprise single epitopes or multiple epitopes for generating different types of immune responses. Indeed, if an entire protein is conjugated to a targeting moiety, this protein is likely to comprise numerous epitopes, which may vary depending upon the solvent conditions and their effect on secondary and

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tertiary structure of the protein. Carbohydrates, nucleic acids and other non-protein substances also may be used as the antigenic moiety. Methods are available in the art for conjugating these substances to the peptide or protein targeting moiety.

In preferred embodiments of the invention, the antigenic moiety comprises agents that are weakly antigenic or non-antigenic under currently available immunization conditions. Many tumor-associated antigens fall into this category, because the antigens also are expressed by normal cells. Therefore, immunological tolerance to such molecules makes it difficult to stimulate responses against such antigens. Other proteins that fall into this category include naturally occurring proteins from one species (e.g., human) for which it would be desirable to produce antibodies in another species but which are recalcitrant to antibody generation in the other species.

One well-characterized tumor antigen is a cell surface-associated mucin that is highly overexpressed and differentially glycosylated by different adenocarcinomas, including breast, pancreas, lung and prostate carcinomas. Aberrant glycosylation of MUC1 by adenocarcinomas results in the addition of some blood group carbohydrate antigens to this core protein and the exposure of epitopes which have been detected by monoclonal antibodies on the core protein that are not exposed on forms of this protein produced by normal epithelial cells. A full-length cDNA sequence of human mucin-1 (MUC1) revealed an encoded protein with an average length of approximately 1200 amino acids (depending on the length of the tandem repeat allele) with several obvious domains: an amino terminal signal peptide; a large domain made up of multiple identical 20 amino acid tandem repeats flanked by several repeats that contain degenerate sequences; a hydrophobic-spanning domain of 31 amino acids; and a cytoplasmic domain of 69 amino acids at the carboxyl terminus. The

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5 most well-characterized tumor associated epitopes  
described to date for MUC1 are found in the tandem repeat  
domain. These include carbohydrate structures and  
protein structures. MUC1 tumor associated epitopes are  
well characterized, and thus have been proposed to be  
10 used for the production of tumor vaccines using  
conventional methods. Exemplary compositions of the  
present invention comprise MUC1 epitopes, such as those  
set forth below, as the antigenic moiety of the APC-1  
targeted antigens of the invention, to demonstrate the  
15 potential of the present invention as potent tumor  
vaccines.

MUC1 epitope predicted to bind to class I  
molecules of the H-2k<sup>b</sup> type has sequence homology to the  
juxtamembrane region of MUC1;

20 YKQGGFLGL (SEQ ID NO:6)

MUC1 tandem repeat has the sequence:

GVTSAPDTRRAPGSTAPPAH (SEQ ID NO:7)

The components comprising the APC-targeted  
25 antigens of the invention can be made separately, then  
conjugated. For example, a small peptide analog, such as  
the above-described C5a agonists, may be produced by  
peptide synthetic methods, and conjugated to a protein  
which has been purified from naturally occurring  
30 biological sources. Alternatively proteins engineered  
for expression via recombinant methods may be used.  
Additionally, targeted antigens comprising peptide  
components (i.e., a peptide antigenic epitope conjugated  
to a peptide receptor ligand) can be synthesized in  
35 tandem by peptide synthetic chemistry according to known  
methods and as described in greater detail below.  
Finally, targeted antigens of the invention comprising  
two larger polypeptide moieties (i.e., a large  
polypeptide antigen linked to a large ligand) can be made  
40 by recombinant techniques. For example, DNA molecules  
encoding both components can be ligated together by

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recombinant means, then expressed as the conjugated fusion protein. Methods of making these different types of compositions are set forth in greater detail below.

5                    **B.    Peptides**

                  Oligopeptides required for the present invention may be prepared by various synthetic methods of peptide synthesis via condensation of one or more amino acid residues, in accordance with conventional peptide synthesis methods. Preferably, peptides are synthesized according to standard solid-phase methodologies, such as may be performed on an Applied Biosystems Model 430A peptide synthesizer (Applied Biosystems, Foster City, CA), according to manufacturer's instructions. Other methods of synthesizing peptides or peptidomimetics, either by solid phase methodologies or in liquid phase, are well known to those skilled in the art. When solid-phase synthesis is utilized, the C-terminal amino acid is linked to an insoluble resin support that can produce a detachable bond by reacting with a carboxyl group in a C-terminal amino acid. One preferred insoluble resin support is p-hydroxymethylphenoxymethyl polystyrene (HMP) resin. Other useful resins include, but are not limited to: phenylacetamidomethyl (PAM) resins for synthesis of some N-methyl-containing peptides (this resin is used with the Boc method of solid phase synthesis; and MBHA (p-methylbenzhydrylamine) resins for producing peptides having C-terminal amide groups.

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                  During the course of peptide synthesis, branched chain amino and carboxyl groups may be protected/deprotected as needed, using commonly-known protecting groups. In a preferred embodiment, N<sup>α</sup>-amino groups are protected with the base-labile 9-fluorenylmethyloxycarbonyl (Fmoc) group or t-butylloxycarbonyl (Boc groups). Side-chain functional groups consistent with Fmoc synthesis may be protected with the indicated protecting groups as follows:

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arginine (2,2,5,7,8-pentamethylchroman-6-sulfonyl);  
asparagine (O-t-butyl ester); cysteine glutamine and  
histidine (trityl); lysine (t-butyloxycarbonyl); serine  
and tyrosine (t-butyl). Modification utilizing  
5 alternative protecting groups for peptides and peptide  
derivatives will be apparent to those of skill in the  
art.

### C. Proteins

10 Full-length proteins for use in the present  
invention may be prepared in a variety of ways, according  
to known methods. Proteins may be purified from  
appropriate sources, e.g., human or animal cultured cells  
or tissues, by various methods such as gel filtration,  
15 ion exchange chromatography, reverse-phase HPLC and  
immunoaffinity purification, among others. However, due  
to the often limited amount of a protein present in a  
sample at any given time, conventional purification  
techniques are not preferred in the present invention.

20 The availability of nucleic acids molecules  
encoding a protein enables production of the protein  
using *in vitro* expression methods known in the art. For  
example, a cDNA or gene may be cloned into an appropriate  
*in vitro* transcription vector, such a pSP64 or pSP65 for  
25 *in vitro* transcription, followed by cell-free translation  
in a suitable cell-free translation system, such as wheat  
germ or rabbit reticulocytes. *In vitro* transcription and  
translation systems are commercially available, e.g.,  
from Promega Biotech, Madison, Wisconsin or BRL,  
30 Rockville, Maryland.

Alternatively, according to a preferred  
embodiment, a selected peptide or protein may be produced  
by expression in a suitable procaryotic or eucaryotic  
system. For example, a DNA molecule, encoding a peptide  
35 or protein component of the invention, or an entire  
composite targeted antigen of the invention, may be  
inserted into a plasmid vector adapted for expression in

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a bacterial cell, such as *E. coli*, or into a baculovirus vector for expression in an insect cell. Such vectors comprise the regulatory elements necessary for expression of the DNA in the host cell, positioned in such a manner as to permit expression of the DNA in the host cell. Such regulatory elements required for expression include promoter sequences, transcription initiation sequences and, optionally, enhancer sequences.

A peptide or protein produced by gene expression in a recombinant procaryotic or eucaryotic system may be purified according to methods known in the art. In a preferred embodiment, a commercially available expression/secretion system can be used, whereby the recombinant protein is expressed and thereafter secreted from the host cell, so as to be readily purified from the surrounding medium. If expression/secretion vectors are not used, an alternative approach involves purifying the recombinant protein by affinity separation, such as by immunological interaction with antibodies that bind specifically to the recombinant protein. Such methods are commonly used for isolating peptides and proteins.

#### **D. Linking Separately-Made Proteins and/or Peptides**

In an alternative embodiment, protein and/or peptide components of the invention are synthesized separately, then conjugated using standard methods known by those skilled in the art. For example, a synthetic peptide may be chemically coupled to a protein using *m*-maleimidobenzoyl-*N*-hydroxysuccinimide ester (MBF). This reagent cross-links amino- and carboxy-terminal thiol groups in the peptide with lysine side chains present in the protein. Alternatively, a synthetic peptide may be coupled to a protein using glutaraldehyde, a common cross-linking agent. Another method for chemically coupling a peptide to a protein is through the use of carbodiimide and 1-(3-dimethylaminopropyl)-3-

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5 ethylcarbodiimide methiodide (EDC). As described in greater detail in Example 2, this method was used to conjugate a C5a C-terminal decapeptide analog to serum amyloid A (SAA). Methods for joining two proteins together are also available.

10 The peptides or proteins of the invention, prepared by the aforementioned methods, may be analyzed according to standard procedures. For example, they may be subjected to amino acid sequence analysis, mass spectra analysis or amino acid compositional analysis  
15 according to known methods.

#### **E. General Formulae and Exemplary Compositions of the Invention**

The APC-targeted antigens of the invention can  
20 comprise one or more antigenic moieties, and likewise can comprise one or more targeting moieties. Moreover, these moieties can be functionally linked in several ways. For instance, if "T" represents a targeting moiety, and "Ag" represents an antigenic moiety, the APC-targeted antigens  
25 of the present invention may be organized as follows:

Ag - T;

T - Ag;

T<sub>1</sub> - Ag - T<sub>2</sub>;

30 T<sub>1</sub> - [Ag]<sub>n</sub> - T<sub>2</sub> (wherein [Ag]<sub>n</sub> represents a multiplicity of antigens.

Examples of the general formulas set forth above include:

Ag - C5a agonist peptide;

IFN $\gamma$  peptide - Ag;

35 IFN $\gamma$  peptide - [Ag]<sub>n</sub> - C5a agonist peptide.

Other representative compositions of the invention include:

MUC1 Class I binding epitope - C5a agonist C-terminal peptide

40 Murine or human IFN $\gamma$  peptide - MUC1 Class I binding epitope

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5 Murine or human IFN $\gamma$  peptide - MUC1 tandem repeat  
MUC1 Class I epitope - -C3dG peptide  
SAA-K-Ahx - C5a C-terminal peptide (Ahx =  $\epsilon$ amino  
hexanoic acid).

10 It will be appreciated by persons skilled in  
the art that the APC-targeted activating antigens of the  
invention may be adapted for inclusion of large or  
complex antigens. This may be accomplished, for example,  
by inclusion of a "spacer" (such as the K-Ahx spacer  
moiety in the exemplary compound above) between the  
15 antigen and the targeting moiety. Such chemical  
modifications are familiar to biochemists.

## II. Uses of APC-Targeted Activating Antigens

20 The APC-targeted activating antigens of the  
present invention have broad potential for clinical  
applications in humans and animals. As discussed above,  
a significant impediment to the development of vaccines  
and other immunotherapeutic agents is the apparent  
inability of particular antigens to be readily taken up  
25 and processed by antigen presenting cells. The  
compositions of the invention facilitate the specific  
delivery of an antigen to a population of antigen  
presenting cells, whereupon the delivery mechanism (e.g.,  
using as the targeting moiety a receptor ligand capable  
30 of transducing a biological signal) simultaneously  
activates the antigen presenting pathway. of the APC.  
Thus, the present invention enables development of  
vaccines and other immunotherapeutics that can  
specifically target any peptide antigen or other  
35 antigenic structure covalently attached to a ligand for a  
receptor present on an antigen presenting cell. It is  
believed that antigens linked to ligands that selectivity  
bind to and activate a particular population of APCs can  
not only generate an immune response, but can influence  
40 the nature of the immune response that is generated.  
Thus, immune responses that favor antibody, cellular, Th1

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(3)

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or Th2 responses, respectively, may be selectively generated. Vaccines may also be developed with an array of such targeting moieties thereby serving to target a selected antigen or antigens to several populations of APCs and simultaneously activate these and other cells involved in various immune modulatory pathways.

The ability to generate either antibody or cell mediated immune responses against different specific antigens has broad general applicability, and it is anticipated that the APC-targeted antigens of the invention will be extremely useful for these purposes. For example, antibody responses have been shown to be capable of protecting against different viral or bacterial infection, and antibodies are known to inactivate different toxins or toxic compounds that may affect the well being of humans or animals. Different cell mediated immune responses can provide protection against viral or other intracellular pathogens, and can play a role in some anti-tumor responses. It is believed that different antigen presenting cells and the context in which these cells are stimulated to present antigen (co-stimulation mediated by different ligand-receptor interactions) are important factors determining the nature of the above responses.

The targeted antigens of the present invention should find particular utility in the development of active specific immunotherapeutic agents (i.e., cancer "vaccines") based on cancer-associated antigens. For example, it has been hypothesized that induction of strong cell-mediated immune responses (involving Th1 cells and/or cytotoxic T lymphocytes) would provide the most effective protection against various forms of cancer. A vaccination strategy utilizing the APC-targeted antigens of the invention can be designed to induce this type of response. In this regard, it is known that stimulation with some cytokines (IL-12, IFN $\gamma$ ) can induce predominantly Th1 type responses over Th2 type

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5 responses for certain antigens.

As a step toward developing anti-cancer vaccines for clinical use, the compositions of the invention can be used to advantage as research tools to further explore the effect of stimulating a certain  
10 population of APCs with a tumor antigen and determining the effect on an anti-tumor immune response. To this end, it should be noted that the present application exemplifies targeted antigens comprising an epitope of a particular tumor-specific antigen, Mucin-1.

15 Previous tumor vaccine formulations that aim to immunize patients with compounds that are identical to compounds already produced by tumors have proven to be of limited value, probably because tumors that progress have been selected for their lack of immunogenicity in their  
20 respective host (e.g., the host is tolerant to existing tumor antigens). Thus, one important challenge of producing effective tumor vaccines is generating reagents that counteract immunological tolerance to tumor-associated antigens. One purpose of the APC-targeted  
25 antigens described above is to induce in the immunized individual a response against their tumor that is similar to that seen in individuals undergoing allograft rejection. In other words, the goal is to induce an autoimmune reaction against the tumor that is capable of  
30 destroying the tumor. The immunological parameters that regulate tolerance to tumor antigens are not well understood; nonetheless the compositions described herein have the potential to counteract this tolerance and thus induce specific immune responses that mediate tumor  
35 rejection.

The targeted antigens of the present invention will also find broad utility in the production of antibodies for use as immunodiagnostic and  
immunotherapeutic agents. For immunodiagnostic purposes,  
40 antibodies are widely used in various quantitative and qualitative assays for the detection and measurement of

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5 biological molecules associated with diseases or other  
pathological conditions. For reasons that often are not  
well understood, it is sometimes difficult to generate  
antibodies against certain biological molecules using  
conventional means. The compositions of the present  
10 invention provide an alternative means for inducing an  
animal to produce antibodies against a weakly-antigenic  
or non-antigenic substances. The utility of the  
compositions of the invention in this regard is shown  
clearly in Example 2, below, in connection with serum  
15 amyloid A. The appearance and abundance of this protein  
in the body is strongly correlated with systemic  
inflammatory stress, which is a condition that is very  
difficult to quantitate. It is believed that  
quantitative assays for SAA levels would be an excellent  
20 indicator of general, systemic inflammation; therefore it  
would be of benefit to generate antibodies against the  
protein in a non-human species. This protein has proved  
particularly recalcitrant to the generation of antibodies  
using conventional measures. As described in Example 2,  
25 a targeted antigen comprising SAA conjugated to a C5a  
peptide ligand produced a significant antibody response  
in mice injected with the conjugated molecule. In a  
similar fashion, targeted antigens comprising any weakly-  
antigenic or non-antigenic component of interest could be  
30 made and used to produce specific antibodies in  
laboratory animals, for use as immunodiagnostic reagents.

Antibodies for use as immunotherapeutic agents  
can also be generated using the compositions of the  
invention. As one example, there has been a great deal  
35 of recent interest in developing reagents capable of  
down-regulating or inhibiting the complement cascade to  
modulate local and systemic inflammatory responses. To  
this end, the C3a convertase, which is active early in  
the cascade, could provide an ideal target for complement  
40 inhibition. C3a convertase cleaves the peptide C3 into  
two components, C3a and C3b, and therefore must be able

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5 to access the cleavage site on C3 in order to accomplish  
the result. Antibodies directed toward the C3a-C3b  
cleavage site are expected to be effective in blocking  
access of C3a convertase to the cleavage site, thereby  
inhibiting this early step in the complement cascade.  
10 Such antibodies may be generated using a targeted antigen  
of the invention comprising, as the antigenic moiety, the  
short peptide sequence comprising the C3a/C3b cleavage  
site. The sequence could then be conjugated to an  
appropriate targeting moiety, such as the C5a C-terminal  
15 decapeptide agonists exemplified herein. Thus, the  
compositions would be useful to generate an  
immunotherapeutic agent (e.g., an antibody that blocks  
the activity of C3a convertase) for treating an adverse  
inflammatory condition.

20 The following examples are provided to describe  
the invention in further detail. These examples are  
intended to illustrate the invention in greater detail.  
They are not intended to limit the invention in any way.

25 **EXAMPLE 1**  
**Evaluation of Mucin Epitope (MUC1/C5a agonist) Conjugate**  
**for Recruitment and Activation of Antigen Presenting**  
**Cells (APCs) and Stimulation of an Immune Response in**  
**Mice**

30 The C5a receptor is present on numerous antigen  
presenting cells, including monocytes, macrophages,  
dendritic cells, and other cell types. In this example,  
a composite peptide comprising a mucin epitope (MUC1)  
functionally linked to a decapeptide agonist analog of C5a  
35 corresponding to the C-terminal effector region of the  
natural factor was evaluated for its ability to activate  
the APCs thereby stimulating an immune response in mice.  
This evaluation is based on the known property of C5a  
receptors to internalize and recycle in the antigen  
40 presenting cell, thereby acting as ideal candidates for  
delivering antigens to and simultaneously activating



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5 signals in the APCs. Because C5a receptors are particularly common on macrophages, monocytes and dendritic cells, it is believed that the use of a C5a agonist analog to bind C5a receptors will result in preferential activation of these APCs.

10

i. **Abbreviations.** Except where noted, the single letter designation for the amino acid residues is used: alanine is A; arginine is R; asparagine is N; aspartic acid is D; cystine is C; glutamine is Q; glutamic acid is E; glycine is G; histidine is H; isoleucine is I; leucine is L; lysine is K; methionine is M; phenylalanine is F; proline is P; serine is S; threonine is T; tryptophan is W; tyrosine is Y; and valine is V. Upper case letters represent the L-amino acid isomer and lower case the D-isomer.

20

ii. **Peptide synthesis, Purification and Characterization.** The following peptides were synthesized according to standard solid-phase methodologies on an Applied Biosystems (Foster City, CA) model 430 A peptide synthesizer and characterized as previously described (7):

25

(1) The antigenic "juxta-membrane" (JM) epitope of the human mucin-1 (MUC1), YKQGGFLGL (SEQ ID NO:6);

(2) The C5a C-terminal decapeptide agonist analog, YSFKPMPLaR (SEQ ID NO:1);

30

(3) The composite peptide YKQGGFLGLYSFKPMPLaR (SEQ ID NO:2), in which the JM epitope is positioned toward the amino terminus and the C5a peptide is positioned toward the carboxyl terminus; and

35

(4) The composite peptide YSFKPMPLaRKQGGFLGL (SEQ ID NO:5), in which the JM epitope of MUC1 is positioned toward the carboxyl terminus and the C5a analog is positioned toward the amino terminus.

Peptide 3 retains C5a biological activity, whereas peptide 4 does not because the biologically important carboxyl terminal end of the C5a analog is

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blocked by the presence of the mucin epitope. As such, peptide 4 serves as a control to determine the importance of the C5a biological activity to the effectiveness of these peptides for immunization purposes.

5               Syntheses were performed on a 0.25 mmol scale on 0-hydroxymethylphenoxymethyl polystyrene (HMP) resins (0.88 meq/g substitution). N<sup>α</sup>-amino groups were protected with the base-labile 9-fluorenylmethyloxycarbonyl (Fmoc) group. Side-chain functional groups were protected as  
10 follows: Arg (Pmc or 2,2,5,7,8-pentamethylchroman-6-sulfonyl); Asp (Ot-butyl ester); Cys, Gln & His (Trt or trityl); Lys (Boc or t-butyloxycarbonyl); Ser & Tyr (t-butyl). Synthesis was initiated by the *in situ* coupling of the C-terminal residue (N<sup>α</sup>-Fmoc-L-Arg(Pmc)) to the HMP  
15 resin in the presence of excess N-N'-dicyclohexylcarbodiimide (DCC) and 1-hydroxybenzotriazole (HOBT) with 4-dimethylaminopyridine (DMAP) as a coupling catalyst. Peptide chain elongation was accomplished by repetitive Fmoc deprotection in 50% piperidine in NMP  
20 followed by residue coupling in the presence of 2-(1H-benzotriazol-1-yl)-1,1,3,3-tetramethyluronium hexafluorophosphate (HBTU).

Side-chain deprotection and cleavage from the resin were achieved in a single step acetolysis reaction  
25 by stirring the peptide-resin in a solution of 84% trifluoroacetic acid (TFA), 6% phenol, 2% ethanedithiol, 4% thioanisole, and 4% water for 1.5 hr at room temperature. Free peptide was precipitated from this solution by adding cold diethyl ether. The mixture was  
30 filtered through a scintered glass Buchner funnel (medium porosity) and the peptide/resin washed twice with cold ether to remove the thiol scavenger. The peptide was extracted by swirling the peptide/resin in the funnel with 20-30 ml aliquots of 10% acetic acid followed by  
35 filtration. The extraction aliquots were combined, frozen, and lyophilized to yield the powdered form of the crude peptide.

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Peptides were purified by preparative and analytical reverse-phase HPLC on columns packed with C<sub>18</sub>-bonded silica. The details of this procedure have been described by (4). All peptides were characterized by amino acid compositional analysis and fast atom bombardment mass spectrometry (FAB-MS).

iii. **Animal Models.** The strains of mice used for this example were inbred females 6 to 12 week old C57B16(H-2<sup>b</sup>) and Balb/c (H-2<sup>d</sup>), which were obtained from Jackson labs (Bar Harbor, Maine). These two strains which differ in H-2 haplotypes, were used in this example to demonstrate that the observed antibody responses were not a result of the selection or creation of an unique immunogenic epitope characteristic of the sequence of the proteins of the MHC class I and class II molecules important for antigen processing in one mouse strain or another. The MUC1 peptide selected for these studies contained a motif that may bind to the H-2K<sup>b</sup> molecule of the C57B16 mice; therefore, a strain of mouse that lacked this class I molecule binding motif (Balb/c) was also studied to determine the relative contribution of the class I binding motif to the antigen presentation properties of these peptides.

iv. **Immunization protocol.** Preimmune sera were obtained from mice, which were subsequently immunized intraperitoneally with 100 µg of the indicated peptide with RIBI adjuvant (MPL+TDM+CWS) (Sigma Immunochemicals). Animals were boosted twice at two week intervals using the same injection procedure. Sera were obtained following three immunizations (at 6 weeks).

v. **Analysis of serum antibody responses.** For radioimmunoassay (RIA), anti-peptide antibodies were determined, before and at different time points after immunization, in 96-well microtiter plates (Dynatech Laboratories, Inc.). Plates were coated with 50 µl of a 100 µg/ml appropriate peptide in phosphate-buffered saline (PBS) pH 7.4 solution overnight at 4°C. The wells

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were blocked by incubation with 5% dry milk in PBS pH 7.4 for at least two hours. Anti-peptide antibody titers were determined using serial dilutions of sera. The sera were diluted with PBS containing 0.05% Tween-20, pH 7.4 (washing buffer) and 50  $\mu$ l of each dilution was incubated at 37°C for 1 hour. The wells were then drained, washed 4 times with PBS-Tween and 50  $\mu$ l of  $^{125}$ I-goat anti-mouse Ab (1 - 2 x 10<sup>4</sup> cpm/well) was added and incubated for 1 hr at 25° C. After washing, specific radioactivity was recorded in a gamma counter (1272 CliniGamma, LKB).

Anti-peptide antibody isotype titers were determined by enzyme-linked immunosorbent assay (ELISA) carried out in 96-well microtiter plates. The plates were coated with 100  $\mu$ g/ml of appropriate peptide in PBS, pH 7.4, and incubated overnight. The wells were blocked with 5% dry milk in PBS pH 7.4 for at least two hours. Anti-peptide titers were determined using serial dilutions of sera as described above. After the plates were washed 4 times, 50  $\mu$ l of a 1:100 dilution of rabbit anti-mouse IgA, IgG1, IgG2a, IgG2b, IgG3 and IgM (Zymed) was added to each well and incubated at 25°C for 1 hour. The plates were washed 4 times with washing buffer and 50  $\mu$ l of 1:500 goat anti-rabbit conjugated to peroxidase (Zymed) was incubated at 37°C for 1 hour. Again, the plates were washed 4 times with washing buffer and bound enzyme was detected by the addition of 50  $\mu$ l 1 mg/ml p-nitrophenyl phosphate (Sigma) in 10% diethanolamine (Sigma) pH 9.4. The reaction was stopped by the addition of 50  $\mu$ l of 0.5 M sodium hydroxide and absorbance values ( $A_{405}$ ) were determined on Titertek Multiskan (Flow Laboratories, Irvine, Scotland).

**vi. Experimental groups.** Experimental groups were as follows:

- Group A. mice immunized with peptide (1)
- Group B. mice immunized with peptide (2)
- Group C. mice immunized with peptide (1) plus peptide (2)

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- 5                   Group D. mice immunized with peptide (3)  
                  Group E. mice immunized with peptide (4).

                  The results of the experimental protocols are  
set forth in Figures 1 and 2. As can be seen in the  
10 Figures, the mice in Groups A, B, C and E produced no  
appreciable increase in antibody response to inoculation  
with MUC1 epitope (Group A), C5a agonist peptide (Group  
B), MUC1 epitope combined with, but not conjugated to,  
C5a agonist peptide (Group C), or MUC1 epitope conjugated  
15 to the C5a agonist peptide at its C-terminus, rather than  
its N-terminus (thereby blocking C5a biological activity)  
(Group E). Only mice inoculated with the MUC1  
epitope/C5a agonist peptide conjugate of the present  
invention (Group D) generated an appreciable antibody  
20 response. Furthermore, this stimulation was significant.  
It is clear from these results that inoculation with the  
conjugated MUC1 epitope/C5a agonist peptide was far more  
efficient in stimulating a general immune response (i.e.,  
production of antibodies) than was inoculation with  
25 either peptide alone, or both peptides together, but not  
conjugated, or peptides conjugated in the opposite  
orientation.

                  There are several significant conclusions that  
can be drawn based on these results. The fact that both  
30 Balb/c and C57B16 mice showed antibody responses to  
peptide 3 suggests that the antigen presenting effect is  
not restricted by MHC haplotype. The fact that immune  
responses were not produced to peptide 4, or to mixtures  
of peptide 1 and 2, but that substantial responses were  
35 produced to peptide 3, suggest that the effect is  
mediated by the C5a moiety of the peptide and that the  
immune response results from the simultaneous delivery of  
antigen peptide and C5a mediated activation signals to  
antigen presenting cells.

40                   The isotypes of the anti-peptide antibodies  
produced in the immunized mice were determined (Figure 3)

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5 and were found to consist of IgM, IgG2a, and IgG2b. This  
suggests that the immunogenic peptide is producing T  
cell-dependent responses, which generally require antigen  
processing and presentation. Data presented in Figure 4  
show that the antibody response to peptide 3 includes a  
10 high percentage of antibodies that are specific for the  
MUC1 epitope that was the antigen moiety of these  
studies.

## 15 EXAMPLE 2

### **Evaluation of Serum Amyloid A/C5a Peptide Conjugates for Recruitment and Activation of APCs and Stimulation of Immune Response in Rats**

Serum amyloid A is an acute-phase stress  
20 response protein generated by the liver. Along with  
other acute phase proteins, SAA is secreted in response  
to systemic inflammatory stress as a protective measure.  
SAA is of interest because it appears to be an excellent  
indicator of general, systemic inflammation, which is a  
25 phenomenon that is very difficult to quantitate. Because  
serum levels of SAA have been observed to parallel the  
rise and fall of the systemic inflammatory response,  
quantitation of serum levels of this peptide would  
provide an effective means of assessing inflammation.  
30 One way to accomplish this is to develop antibodies  
against SAA that could be used for quantitation such as  
in an ELISA assay. However, SAA has been particularly  
recalcitrant to the generation of antibodies against it.  
In this example, an evaluation was made of the ability of  
35 SAA conjugated to a C5a C-terminal analog (as described  
in Example 1) to activate antigen producing cells and  
produce an antibody response in rats.

i. **Production and preparation of proteins and**  
40 **peptides.** The C-terminal C5a analog K-Ahx-YSFKPMPLaR (SEQ ID  
NO:8) (AhX is aminohexanoic acid, which is a linear aliphatic

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5 spacer moiety) was produced as described in Example 1. The aliphatic spacer moiety was included to separate the critical receptor-binding C5a analog from the bulky protein to be attached to the amino terminus.

10 Serum amyloid A was conjugated to the C5a peptide analogs according to the following method. SAA (100  $\mu$ g) was reacted with a 50-fold molar excess of a water soluble carbodiimide, 1-(3-dimethylaminopropyl)-3-ethylcarbodiimide methiodiide (EDC), in 200  $\mu$ l of phosphate buffered saline, pH 7.5, at room temperature  
 15 for 30 minutes. A 50-fold molar excess of the peptide (K-Ahx-YSFKPMPLaR) (SEQ ID NO:8) and a 100-fold molar excess of a base diisopropylethyl amine (DIEA) were added to this solution. Water was added to the solution to bring the reaction mixture to a volume of 400  $\mu$ l. This  
 20 solution was stirred overnight at room temperature and then lyophilized to a dry powder. The powder was diluted to the appropriate volume with water to generate the stock mixture used for inoculating the animals.

25 **ii. Experimental protocols.** Rats were injected intraperitoneally with an inoculant comprising the SAA/C5a peptide conjugates in phosphate-buffered saline with or without RIBI adjuvant. Booster injections were given two and five weeks after the initial injections.  
 30 The rats were sacrificed seven weeks after the initial injection and anti-mucin antibody production was assessed from the serum titers, as described in Example 1.

35 Significant anti-SAA antibody was produced from both groups of rats, whether or not RIBI adjuvant was included in the inoculation. As visualized by gel electrophoresis and autoradiography of anti-SAA antibody eluted from the plate assays, it appeared that anti-SAA antibody titers were essentially equivalent, or slightly  
 40 higher, in rats inoculated with SAA/C5a peptide conjugate in the absence of RIBI adjuvant as compared to the same

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5 inoculation without the adjuvant. Thus, antigenic  
conjugates comprising the C5a peptide analog are useful  
for generating antibodies against large proteins, as well  
as against smaller peptide fragments, such as those  
described in Example 1. Moreover, the successful  
10 generation of anti-SAA antibodies utilizing this method  
is particularly promising for purposes of producing  
antibodies against weakly- or non-antigenic peptides or  
proteins.

### EXAMPLE 3

15 **Production and Characterization of Site-Directed  
Neutralizing Antibodies Specific for a Peptide  $\kappa$ R(33-52)  
from the Predicted Amino-Terminal Region of the  
Human Kappa Receptor**

Receptors for human opioid peptide hormones have  
20 been described on numerous cell types. The receptors for  
 $\mu$ ,  $\kappa$ , and  $\delta$  ligands have recently been cloned from  
genomic and cDNA libraries derived from normal tissue and  
cell lines. Considerable homology exists among the  $\mu$ ,  
 $\kappa$ , and  $\delta$  receptors, except for the N-terminal regions of  
25 the receptors. The N terminal region of the human kappa  
receptor (amino acid residues 1-100) is relatively  
hydrophilic and would be predicted to be exposed on the  
surface of the cell membrane. A 20 residue peptide  
[ $\kappa$ R(33-52)], was chosen and used to raise a site directed  
30 peptide specific polyclonal antibody (5).

The method of production of a polyclonal antiserum  
in rabbits using the molecular adjuvant, C5a-agonist  
peptide conjugated to the  $\kappa$ R epitope is set forth below.  
The binding specificity and biological activities of the  
35 resulting polyclonal antiserum raised to the predicted  
extracellular region of the human kappa receptor ( $\kappa$ R) are  
also described below.

i. **Construction of Targeted-Immunogen.** A peptide  
construct consisting of the  $\kappa$ R(33-52)  
40 (FPGWAEPSNGSAGSEDAQL) (SEQ ID NO:9) covalently attached  
to the N-terminal end of a conformationally biased, C5a



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5 complement fragment agonist analogue peptide (YSFKPMPLaR)  
(SEQ ID NO:1) was synthesized according to the methods in  
Example 1 and as previously reported (7).

10 **ii. Preparation of anti- $\kappa$ R(33-52) Antiserum and  
Peptide-Specific ELISA.** Rabbits were immunized s.c. with  
500  $\mu$ g of FPGWAEPDSNGSAGSEDAQLYSFKPMLaR construct (SEQ ID  
NO:10) in complete Freund's adjuvant (GIBCO, Grand Island,  
NY) on day 0 followed by booster injections on days 30 and  
60 in incomplete Freund's adjuvant. Serum was collected  
15 starting 75 days after the initial immunization.

The presence of anti-peptide antibody was determined  
by using a peptide specific ELISA utilizing the free  
 $\kappa$ R(33-52) peptide as previously described (8). Anti- $\kappa$ R(33-  
20 52) and normal rabbit  $\gamma$ -globulin (RGG) were purified by  
protein A Sepharose chromatography (Sigma) (8) prior to  
use.

**iii. Cells and culture conditions.** The  
neuroblastoma cell SK-N-SH (HTB 11), ductal breast cell  
25 carcinoma T47D (HTB 133), Jurkat T cell leukemia, (TIB  
152), U937 histolytic lymphoma (CRL1593), THP 1 human  
monocyte (TIB 202), EBV-transformed B cells SKW 6.4 (TIB  
215) and CESS (TIB 190) (American Type Culture  
Collection, Rockville, MD) were cultured in DMEM or RPMI  
30 1640 supplemented with 10% fetal calf serum, 25 mM HEPES,  
1 mM L-glutamine, 2 mM Na pyruvate, 50 U penicillin and  
50  $\mu$ g/ml streptomycin. The human neuronal precursor  
cells NT2 (Stratagene, La Jolla, CA) were cultured in  
Opti-MEM (Gibco) supplemented as above. All cultures  
35 were incubated at 37° C in a humidified chamber with 7.5%  
CO<sub>2</sub>.

Peripheral blood derived mononuclear cells were  
obtained from healthy male and female volunteers,  
isolated by Ficoll-Hypaque(tm) density gradient  
40 centrifugation and enriched for macrophage by adherence  
to plastic.

- 5 **iv. Flow Cytometry.** Single-color flow cytometry  
analysis of cells ( $1 \times 10^6$ ) in PBS containing 1% bovine  
calf serum and 0.1% sodium azide (staining buffer) were  
preincubated 30 minutes at  $4^\circ \text{C}$  in the presence of 20%  
normal human serum. The cells were washed and incubated  
10 with anti- $\kappa\text{R}(33-52)$  or RGG for 30 minutes at  $4^\circ \text{C}$ , washed  
and labeled with PI-conjugated donkey (Fab')<sub>2</sub> fragments  
of antirabbit IgG (Zymed, S. San Francisco, CA) for 30  
minutes at  $4^\circ \text{C}$  (8). For dual color analysis FITC-  
conjugated anti-CD3 or anti-CD14 (Pharmingen, San Diego,  
15 CA) were also included in the second step. Cells ( $1 \times$   
 $10^4$ ) were analyzed on a FACScan (Becton Dickinson,  
Mountain View, CA) and data were analyzed with the Cell  
Quest software as previously described (8).
- 20 **v. Measurement of cell proliferation.** Peripheral blood  
mononuclear cell (PBMC) were pulsed on day 2 of culture  
with  $^3\text{H}$ -thymidine and 18 hours later the cells harvested  
on glass fiber filters and processed for scintillation  
counting. Experiments were performed three times and  
25 each sample done in triplicate.
- vi. Measurement of IgG Secretion.** Relative IgG levels in  
culture supernatants were determined by indirect ELISA as  
previously described (9). Supernatants from PBMC cultures  
30 were collected after 10 days and assayed for the presence of  
IgG. Numbers represent the mean CPM  $\pm$  SD from triplicate  
samples. Experiments were performed at least three times.
- vii. Characterization of Anti- $\kappa\text{R}$  Peptide Antiserum.** Serum  
35 from rabbits immunized with the  $\kappa\text{R}(33-52)\text{YSFPMPLaR}$   
construct (SEQ ID NO:10) and normal rabbit serum were  
assayed for the ability to recognize plate bound  $\kappa\text{R}(33-52)$   
(SEQ ID NO:9) in ELISA. The results show that serum from  
rabbits immunized with the  $\kappa\text{R}(33-52)\text{YSFPMPLaR}$  construct  
40 (SEQ ID NO:10) bound free  $\kappa\text{R}(33-52)$  peptide (SEQ ID NO:9)  
in a dose dependent fashion. The titer was approximately

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5 10<sup>5</sup>. In contrast, serum from unimmunized rabbits failed to  
bind this peptide. Serum samples from immunized and  
unimmunized rabbits were subjected to protein A-Sepharose  
chromatography and the column eluates were assessed for  
10  $\kappa$ R(33-52) (SEQ ID NO:9) specific antibody. The results  
indicate that protein A-purified antibody derived from  
rabbits immunized with the  $\kappa$ R(33-52)YSFPMPLaR construct  
(SEQ ID NO:10) binding to free  $\kappa$ R(33-52) (SEQ ID NO:9) was  
detectable at antibody concentrations less than 0.1 ng/ml.  
In contrast, RGG failed to bind the free peptide. The  
15 results from multiple bleedings indicated that the ED<sub>50</sub>  
titer ranged between 1-10 ng/ml. These results indicate  
that rabbits immunized with  $\kappa$ R(33-52)YSFPMPLaR (SEQ ID  
NO:10) contained high titer,  $\kappa$ R(33-52) peptide specific  
antibody.

20

**viii. Binding of anti-R (33-52) antibody to cells  
expressing human  $\kappa$ R.** To determine whether the polyclonal  
anti- $\kappa$ R(33-52) antibodies bound to cells expressing the  
25  $\kappa$ R, a variety of mononuclear cell lines and normal human  
mononuclear cells were first assayed for the presence of  
the  $\kappa$  receptor specific mRNA by RT-PCR. RNA samples  
isolated from neuronal cell lines NT2, U937, Jurkat,  
T47D, normal human PBMC, and enriched human macrophage  
30 were subjected to RT-PCR analysis with 5' sense and 3'  
antisense primers specific for the 3' region of the  
cloned  $\kappa$ R and B-actin. All of the cell lines or cell  
fractions, except for the T47D cell line, were positive  
for the  $\kappa$ -receptor specific PCR product, as expected  
35 based on the primer sequences used (5).

Experiments were performed to determine whether  
anti- $\kappa$ R(33-52) bound to cells expressing  $\kappa$ R specific  
mRNA. The results of single color flow cytometric  
analysis for several cell lines are shown in Table 2.  
40 Flow cytometric measurements were conducted with human  
cell lines representative of macrophage (U937), T

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lymphocytes (Jurkat), and B lymphocytes (SKW 6.4 and CESS). The results indicate that anti- $\kappa$ R(33-52) bound all three cell types. Anti- $\kappa$ R(33-52) bound to U937 cells to the greatest extent (MFI=231) compared to normal RGG (MFI=38). As used herein MFI refers to mean fluorescence intensity. Comparison of anti- $\kappa$ R(33-52) and RGG binding to the Jurkat line indicated approximately a 3-fold shift in MFI (MFI=18 vs. MFI=6). Similar results were obtained with the two B lymphocyte-like cell lines (SKW 6.4 and CESS). Comparison of anti- $\kappa$ R(33-52) and RGG binding to the SKW 6.4 line indicated approximately a 3-fold shift in MFI (MFI=19 vs. MFI=6). The neuronal cell line was also specifically bound by the anti- $\kappa$ R(33-52) as indicated by a 3-fold shift in the MFI over the RGG. Finally, based on the lack of expression of  $\kappa$ R-specific mRNA from the human breast carcinoma cell line (T47D), this cell line was assessed for its ability to bind to anti- $\kappa$ R(33-52) by flow cytometric analysis. The lack of a  $\kappa$ R expression on T47D cells was confirmed by the fact that anti- $\kappa$ R(33-52) and RGG bound to these cells in an almost identical fashion. As a positive control, anti- $\kappa$ R(33-52) and RGG were assessed for their ability to bind to an additional human macrophage-like cell line (THP 1). Comparison of anti- $\kappa$ R(33-52) and RGG binding to this cell line resulted in a significant shift in MFI (MFI=190 vs. MFI=8). These results confirm the specificity of anti- $\kappa$ R(33-52) for the human  $\kappa$ R.

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**Table 1**

Selected cell type binding of anti- $\kappa$ R(33-52) antibodies produced in rabbits immunized with C5a-agonist peptide conjugated to the  $\kappa$ R(33-52) sequence as assessed by single channel color flow cytometric analysis.

		Mean Channel Intensity	
<u>Cell Line</u>	<u>Cell Type</u>	<u>RGG</u>	<u>anti-<math>\kappa</math>R Ab</u>
NT2	Neuronal	9	19
U937	Macrophage	38	231
Jurkat	T-lymphocyte	6	18
SKW 6.4	B-lymphocyte	6	19
CESS	"	<10	>10
Controls			
T47D (negative)	Human Breast Carcinoma	~3	~3
THP1 (positive)	Macrophage	8	190

30

Analysis of intact human PBMC indicated that these cells express mRNA for a " $\kappa$ -like" R (5). Dual color flow cytometric analysis was utilized to assay for the binding of anti- $\kappa$ R(33-52) to normal human macrophage (CD14+) and T lymphocytes (CD3+). It was observed that both macrophage and T lymphocytes bound anti- $\kappa$ R(33-52) antibody. Anti- $\kappa$ R(33-52) and RGG were assessed for binding to CD14+ PBMC. The results indicate that anti- $\kappa$ R(33-52) bound CD14+ cells with a 15-fold increase compared to normal RGG (MFI=320 vs. MFI=21). Anti- $\kappa$ R(33-52) was also found to bind CD3+ cells (MFI=19 vs. RGG MFI=3) albeit less than CD14+ cells. These results indicate that anti- $\kappa$ R(33-52) binds normal PBMC-derived mononuclear cells as well as mononuclear cell lines, which express  $\kappa$ R-specific mRNA.

45

ix. Neutralization of U50,488H-mediated suppression of lymphocyte proliferation by anti- $\kappa$ R(32-52) antibody in vitro. The results of published studies have shown that

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5 opioid peptide-induced regulation of *in vitro* immune  
responses can occur via specific receptor-ligand  
interactions. More specifically, it has been shown that  
the  $\kappa$ R-selective agonist U50,488H is capable of  
suppressing SAC-induced lymphocyte proliferation by human  
10 PBMC cultures (6). The inhibition of lymphocyte  
activation by U50,488H has also been shown to be reversed  
by the  $\kappa$ R-selective antagonist nor-BNI. To determine  
whether anti- $\kappa$ R(33-52) was capable of acting as an  $\kappa$ R  
selective antagonist and neutralizing U50,488H-mediated  
15 suppression, PBMC cultures were preincubated with various  
concentrations of protein A purified anti- $\kappa$ R(32-52) prior  
the addition of SAC and U50,488H. U50,488H suppresses  
SAC-induced lymphocyte proliferation in a dose dependent  
fashion (5). Maximal suppression was obtained when  
20 U50,488H was used at a concentration of  $10^{-6}$  M. PBMC  
cultures were preincubated with various concentrations of  
anti- $\kappa$ R(33-52) (1-50  $\mu$ g/ml), followed by the addition of  
U50,488H plus SAC, and proliferation measured on day 3 of  
culture. Anti- $\kappa$ R(33-55) was found to neutralize  
25 U50,488H-mediated suppression of SAC-induced lymphocyte  
proliferation in a dose dependent fashion. In contrast,  
identical concentrations of normal RGG failed to inhibit  
 $\kappa$ R selective agonist mediated immunosuppression.

Since SAC has been shown to induce both T and B  
30 lymphocyte proliferation, similar experiments were  
conducted with the T cell mitogen PHA. Anti- $\kappa$ R(33-52) was  
also able to neutralize the ability of U50,488H to  
suppress mitogen-induced T cell proliferation. U50,488H  
( $10^{-6}$  M) suppressed PHA-induced T cell proliferation by  
35 85%. This suppression was reversed by preincubating the  
cells with anti- $\kappa$ R(33-52). Preincubation of PBMC with  
normal RGG failed to block U50,488H-mediated suppression  
of T cell proliferation.

Anti- $\kappa$ R(33-52) does not appear to directly  
40 modulate lymphocyte proliferation. The co-culture of PBMC  
with anti- $\kappa$ R(33-52), in the absence of mitogen, failed to

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5 stimulate the cells above the media control. Moreover, the combination of anti- $\kappa$ R(33-52) and PHA or SAC did not result in increased cell proliferation compared to PBMC cultures receiving mitogen only.

10

x. Neutralization of U50,488N-mediated suppression of IgG synthesis by anti- $\kappa$ R(32-52) antibody in vitro. In addition to lymphocyte proliferation, U50,488H is a potent inhibitor of SAC-induced IgG synthesis in human PBMC cultures (6). To determine whether anti- $\kappa$ R(32-52) was capable of neutralizing the suppression of IgG synthesis, PBMC were preincubated with anti- $\kappa$ R(32-52) followed by the addition of U50,488H and SAC, and IgG levels measured on day 10. Results indicate that U50,488H at  $10^{-8}$  M and  $10^{-7}$  M inhibited IgG synthesis by 67% and 85% respectively (5). The inclusion of anti- $\kappa$ R(32-52) in culture was found to neutralize suppression of SAC induced IgG synthesis in a dose dependent manner. In contrast, similar concentrations of normal RGG failed to neutralize the observed suppression.

To assess the specificity of anti- $\kappa$ R(32-52) antibody, PBMC were incubated with specific antibody or RGG followed by co-culture with U50,488H or the  $\mu$  receptor selective agonist (DAGO) and IgG production measured by ELISA. The results indicate that, whereas, anti- $\kappa$ R(32-52) neutralized U50,488H-mediated inhibition of SAC-induced IgG synthesis, anti- $\kappa$ R(32-52) was unable to neutralize DAGO-mediated suppression of IgG synthesis.

These results indicate that in addition to binding lymphocytes and macrophage, anti- $\kappa$ R(32-52) is capable of neutralizing the ability of a  $\kappa$ R selective agonist (U50,488H), but not a  $\mu$ R selective agonist (DAGO). Additionally the antibody demonstrated significant inhibition of both lymphocyte proliferation and differentiation to antibody synthesis. These results further demonstrate the specificity of anti- $\kappa$ R(33-52) for

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5 the human kappa receptor.

As can be seen from the antibody binding data presented above, the site directed polyclonal antibodies raised in rabbits using the C5a-agonist form of the molecular adjuvant conjugated to the  $\kappa$  receptor sequence were capable of binding to normal human cells and cell lines expressing mRNA specific for the human  $\kappa$  receptor. Flow cytometric analysis of a neuronal cell line (NT2), normal blood-derived CD14+ monocytes, monocyte-like cell lines (U937 and THP1), normal blood derived CD3+ T cells and a T cell line (Jurkat), and human B cell lines (SKW6.4 and CESS) revealed that the cells were all bound by anti- $\kappa$ R(33-52) in a specific manner. The anti- $\kappa$ R(33-52) did not bind to a cell line determined not to express mRNA for the human  $\kappa$  receptor.

20 Anti- $\kappa$ R(32-52) was found to specifically neutralize  $\kappa$ R-selective agonist (U50,488H)-mediated inhibition of lymphocyte activation. The antiserum was found to neutralize, in a dose dependent manner, U50,488H-mediated inhibition of: 1) SAC-induced lymphocyte proliferation; 2) PHA-induced lymphocyte proliferation and; 3) SAC-induced IgG synthesis. In contrast, DAGO-mediated suppression of SAC-induced IgG production was not affected by anti- $\kappa$ R(32-52). These results suggest that this site directed polyclonal antiserum specifically interacts with the human  $\kappa$ R on PBMC. The results presented indicate that polyclonal anti- $\kappa$ R(32-52) antibodies interact with the exposed N-terminal region of the  $\kappa$ R. While this antiserum effectively blocked U50,488H-mediated lymphocyte activation, it did not activate macrophage or lymphocytes.

While anti- $\kappa$  opioid receptor antibodies are exemplified above, conjugation of C5a agonist peptide to peptides corresponding to  $\mu$  and  $\Delta$  specific peptides has resulted in the successful generation of specific antibodies to the  $\mu$  and  $\Delta$  epitopes.



5

EXAMPLE 4.

Comparison of Immunogenicity of Epitope-C5a agonist constructs with epitope-KLH conjugates.

10 The following experiment was performed in order to compare the potency of the molecular adjuvant of the present invention with a widely used method for enhancing the immune response to peptide epitopes. The objective was a direct comparison of the response to a construct of MUC1 epitope-C5a agonist and the same epitope conjugated to keyhole limpet hemocyanin (KLH) in mice. The results are summarized in Table 2.

Table 2

20

MUC1 Specific Ab Isotype Titers  
Produced with Different Immunogens.

25

Ab Isotypes and Titers <sup>a</sup>						
	IgA	IgG1	IgG2a	IgG2b	IgG3	IgM
YKQGGFLGLYSFKPMPLa <sup>b</sup> (SEQ ID NO:2)	0	0	1260 (5/5)	1780 (5/5)	0	6310 (5/5)
YKQGGFLGL-KLH <sup>c</sup> (SEQ ID NO:6-KLH)	0	100 (2/5)	0	0	0	5010 (4/5)

30

<sup>a</sup> Sera were screened against MUC1 peptide and mean titer values of responders are shown. Parentheses indicate the number of responders. Ab titer is defined as the sera dilution within the linear range at which specific reactivity is lost.

35

<sup>b</sup> Five C57BL6 mice were immunized and boosted with YKQGGFLGLYSFKPMPLa<sup>b</sup> (SEQ ID NO:2) and sera were obtained as indicated in the Material and Methods section. Standard error of responder titer values was less than 32% for all isotypes.

40

<sup>c</sup> Five C57BL6 mice were immunized and boosted with YKQGGFLGL-KLH (SEQ ID NO:6 conjugated to KLH) and sera were obtained as indicated in the Materials and Methods section. Standard error of responder titer values was less than 25% for IgM and less than 40% for IgG1.

45 A similar experiment was performed in rabbits. The immunogens used in rabbits were the  $\kappa$ - and  $\mu$ - opioid

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5 receptor epitopes, FPGWAEPDSENGSAGSEDAQL (SEQ ID NO:9) and  
GDLSDPCGNRTNLGGRDSL (SEQ ID No:11), respectively. The  
serum antibody titer and antibody subtypes produced in  
rabbits injected with the two compositions containing the  
different immunogens were compared.

10

i. **Peptide conjugates.** In one instance the  
epitopes were conjugated to KLH via a lysine residue added  
synthetically to the N-terminus of the epitope along with  
an alanine residue which acted as a spacer. In this  
15 experiment, glutaraldehyde was used to effect conjugation.

In the another case, the epitopes were linked to the N-  
terminal end of the C5a agonist YSFKPMPLaR (SEQ ID NO:1)  
using the solid phase peptide synthetic methodologies  
described above in example 1.

20

ii. **Immunization protocol for rabbits.** Rabbits were  
immunized s.c. with 500  $\mu$ g of either the epitope-KLH or  
the epitope-YSFKPMPLaR (epitope-SEQ ID NO:1) constructs in  
complete Freund's adjuvant (GIBCO, Grand Island, NY).  
Booster injections were administered on days 30 and 60 in  
25 incomplete Freund's adjuvant. Serum was collected  
starting at day 60 post-immunization.

iii. **Antibody determination.** The presence of rabbit  
IgG specific for the peptide epitopes was determined by  
ELISA as previously described (8).

30

Rabbits immunized with the epitope-C5a agonist  
generated high titer IgG Abs specific for the opioid  
receptor peptide epitopes. The rabbits immunized with the  
opioid receptor epitopes conjugated to the carrier protein  
KLH also produced high titer antibodies specific epitopes  
35 to which they were injected. These results demonstrate  
that the decapeptide C5a-agonist was as effective as the  
large molecular weight protein, KLH, conjugated to the  
epitope at inducing specific anti-peptide antibodies in  
non-rodent species.

40

AMENDED SHEET

5

# REFERENCES

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2. Ausubel et al., "Current Protocols in Molecular Biology," John Wiley & Sons, Inc., 1995.
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9. Hobbs, M.V., R.A. Houghten, J.A. Janda, W.O. Weigle, and E.L. Morgan, E.L. (1989) "Induction of human B cell differentiation by Fc region activators. I. Identification of an active tetrapeptide", Clinical Immunol. Immunopathol. 50:251.

While certain preferred embodiments of the present invention have been described and specifically exemplified above, it is not intended that the invention be limited to such embodiments. Various modifications

- 50 -

may be made to the invention without departing from the scope and spirit thereof as set forth in the following claims.

5

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WHAT IS CLAIMED IS:

1. A molecular adjuvant for enhancing an immune response to an immunogen comprising:  
a targeting ligand having binding affinity for a characteristic determinant of an antigen presenting cell, said targeting ligand being functionally linked to said immunogen, whereby binding of said molecular adjuvant to said antigen presenting cell determinant activates said antigen presenting cell, effecting delivery of said immunogen to an antigen presenting pathway of said antigen presenting cell.

2. A molecular adjuvant as claimed in claim 1, wherein said targeting ligand binds specifically to a determinant comprising an immunomodulatory receptor of said antigen presenting cell.

3. A molecular adjuvant as claimed in claim 2, wherein said targeting ligand binds specifically to a receptor selected from the group consisting of C5a receptor, IFN-gamma receptor, CD21 (C3d) receptor, CD64 (FcγRI) receptor, and CD23 (FcεRII) receptor.

4. A molecular adjuvant as claimed in claim 3, wherein said targeting ligand binds specifically to a C5a receptor and is selected from the group consisting of C5a and a peptide agonist analog of C5a comprising the C-terminal ten residues of C5a.

5. A molecular adjuvant as claimed in claim 4, wherein said targeting ligand is a peptide comprising the sequence YSFKPMPLaR, which is SEQ ID NO:1.

6. A molecular adjuvant as claimed in claim 1, comprising a targeting ligand and an immunogen

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having the sequence YKQGGFLGLYSFKPMPLaR.

7. A molecular adjuvant as claimed in claim 1, wherein said targeting moiety and said immunogen are linked by a spacer moiety.

8. A molecular adjuvant as claimed in claim 3, wherein said targeting ligand binds specifically to an IFN-gamma receptor and is selected from the group consisting of IFN-gamma and a peptide analog of IFN-gamma comprising the N-terminal 39 residues of INF-gamma.

9. A molecular adjuvant as claimed in claim 8, wherein said targeting ligand is a peptide comprising a sequence selected from the group consisting of

HGTVIESLES LN NYFNFFGIDVEEKSLFLDIWRNWQKDG, which is Sequence I.D. No. 3; and QDPYVKEAENLKKYFNAGHSDVADNGTLFGIKNWKEE, which is Sequence I.D. No. 4.

10. A molecular adjuvant as claimed in claim 1, wherein said immunogen comprises at least one substance selected from the group consisting of peptides, glycopeptides, phosphopeptides, lipopeptides, proteins, glycoproteins, phosphoproteins, lipoproteins, carbohydrates, nucleic acids and lipids.

11. A molecular adjuvant as claimed in claim 10, wherein said immunogen comprises a peptide.

12. A molecular adjuvant as claimed in claim 10, wherein said peptide comprises an epitope of human mucin-1.

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5 13. A molecular adjuvant as claimed in  
claim 10, wherein said immunogen comprises a protein.

10 14. A molecular adjuvant as claimed in  
claim 13, wherein said protein comprises serum amyloid  
A (SAA).

15 15. A molecular adjuvant as claimed in  
claim 14 having the formula SAA-K-Ahx-YSFKPMPLaR,  
which is SAA-conjugated SEQ ID NO:8.

16 16. A molecular adjuvant as claimed in  
claim 1, wherein said immunogen comprises a tumor-  
specific antigen.

20 17. A composition for enhancing an immune  
response to an immunogen in a subject in which said  
enhanced immune response is desired, said composition  
comprising the molecular adjuvant of claim 1 in a  
biologically compatible medium.

25 18. A method for activating an antigen  
presenting cell for inducing an enhanced immune response  
to an immunogen, said immunogen being delivered to the  
antigen presenting pathway of said antigen presenting  
30 cell, said method comprising binding to a characteristic  
surface determinant of said antigen presenting cell a  
molecular adjuvant as claimed in claim 1.

35 19. A method as claimed in claim 18,  
wherein binding of said molecular adjuvant to said  
antigen presenting cell induces a humoral immune  
response.

40 20. A method as claimed in claim 18,  
wherein binding of said molecular adjuvant to said  
antigen presenting cell induces a cellular immune

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response.

21. A method as claimed in claim 18,  
wherein said antigen presenting cell is selected from  
5 the group consisting of monocytes, dendritic cells,  
macrophages and B cells.

22. A method for eliciting an antigen  
presenting cell-mediated immune response in a host  
10 susceptible to infection by an antigen containing  
disease causing agent, said method comprising  
administering to said individual a molecular adjuvant,  
as claimed in claim 1, wherein said immunogen  
comprises the antigen of said disease causing agent,  
15 in an amount effective for eliciting said immune  
response.

23. A method for eliciting an immune  
response to a tumor-associated antigen, said method  
20 comprising administering to a host having a tumor  
expressing said tumor-associated antigen a molecular  
adjuvant as claimed in claim 1, wherein said immunogen  
comprises said tumor-associated antigen, in an amount  
effective for eliciting said immune response.

25

24. A method for the production of  
antibodies to an immunogen, comprising:

- a) immunizing an animal with an immunogenic  
effective amount of the molecular adjuvant of claim 1;  
30 b) isolating antibodies from sera of said  
animal; and  
c) recovering said isolated antibodies.



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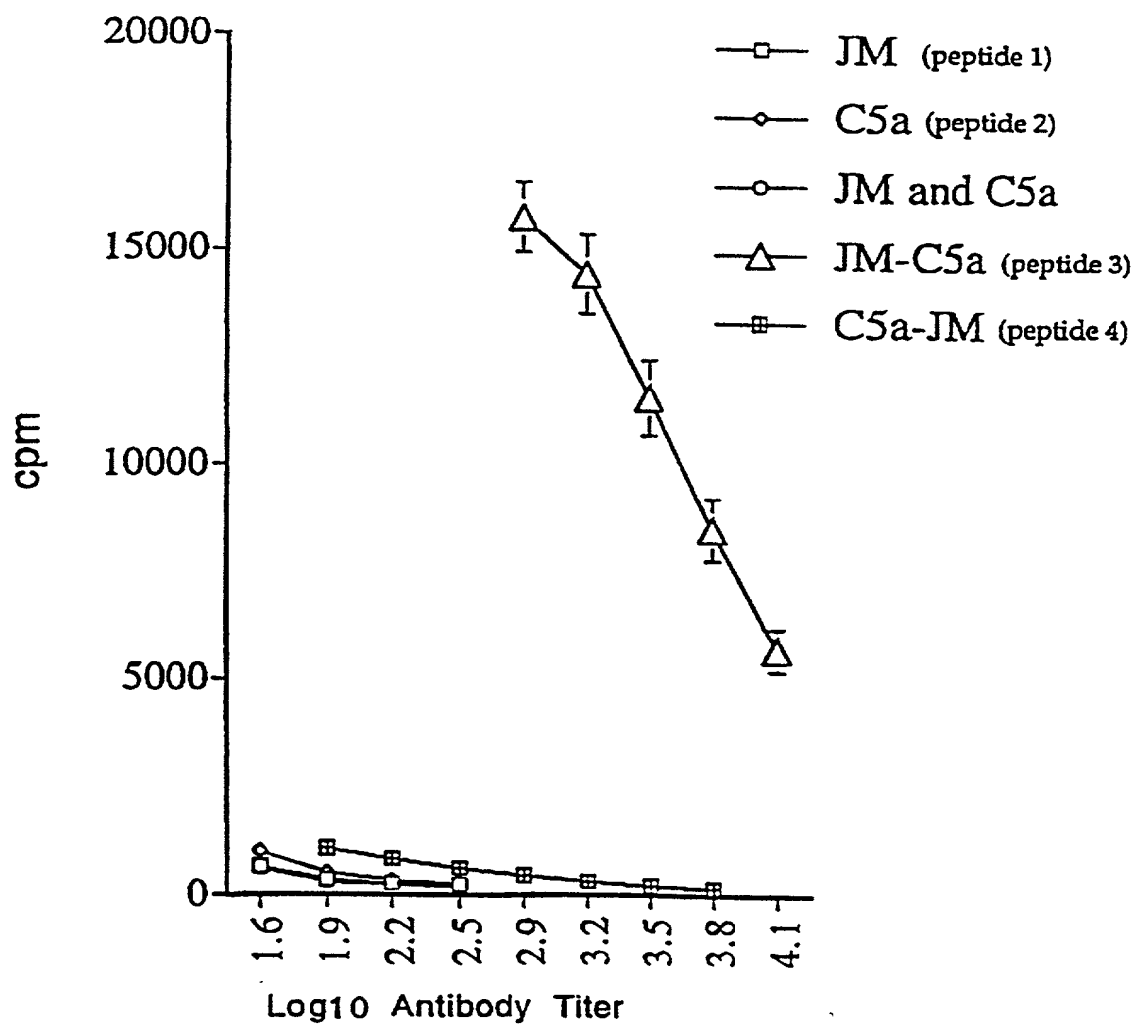


Figure 1

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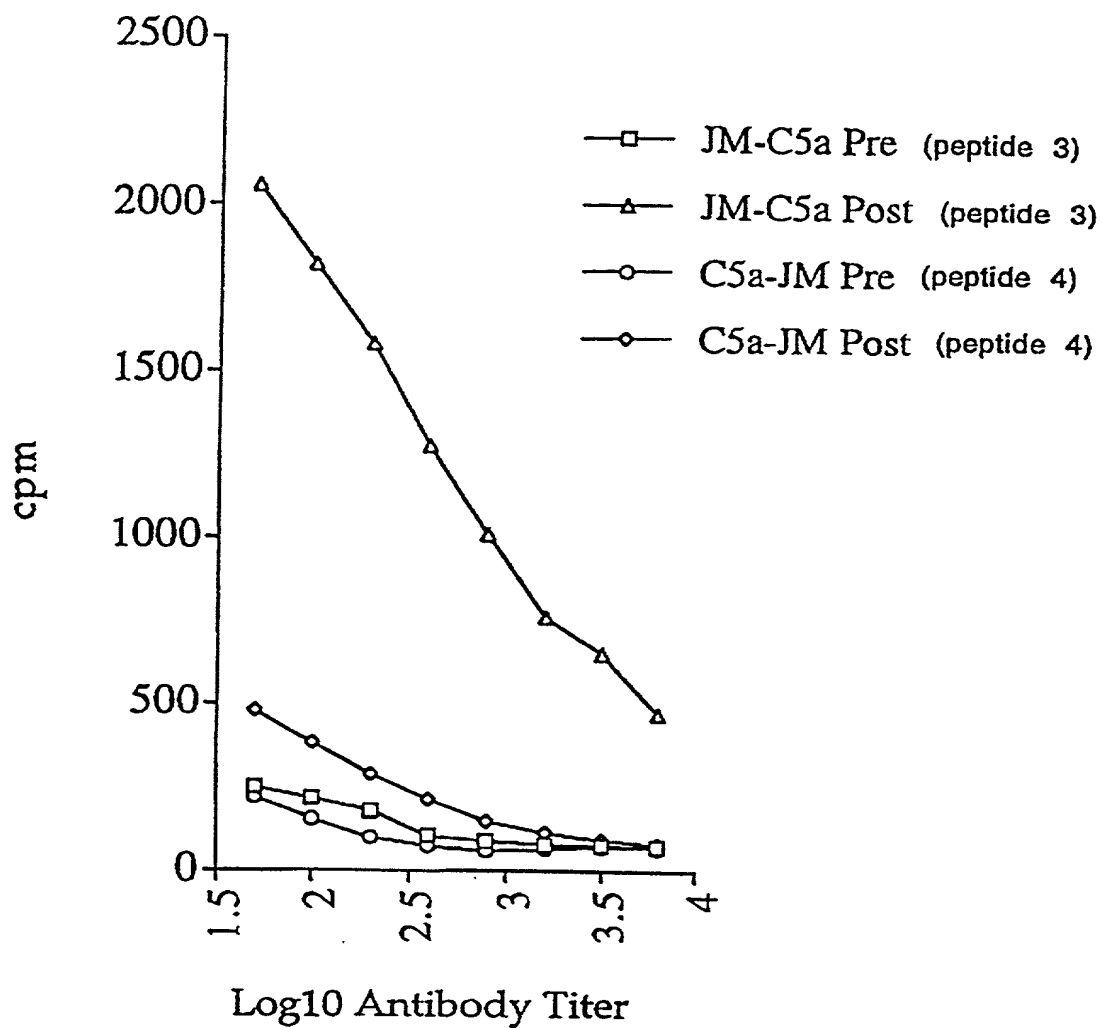


Figure 2

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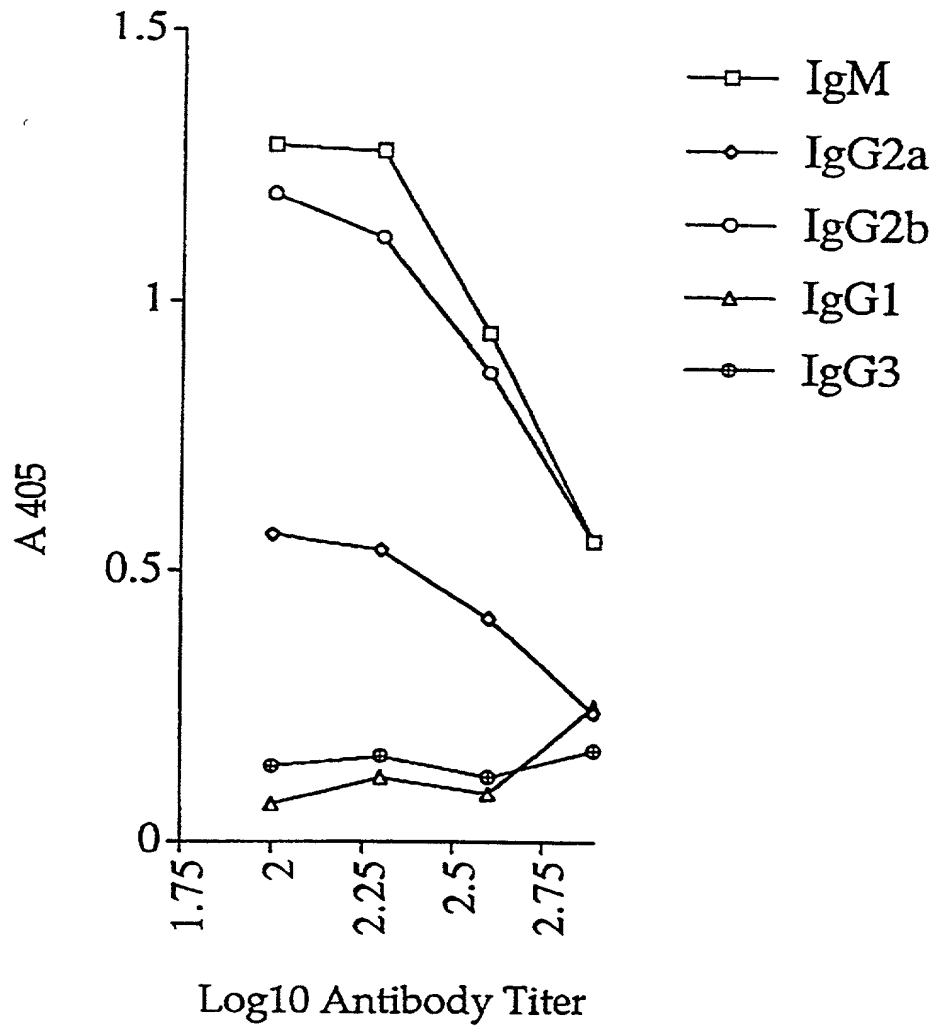


Figure 3

APPROVED	O.G. FIG.	
BY	CLASS	SUBCLASS
DRAFTSMAN	WO 97/14426	

09/051685  
PCT/US96/16825

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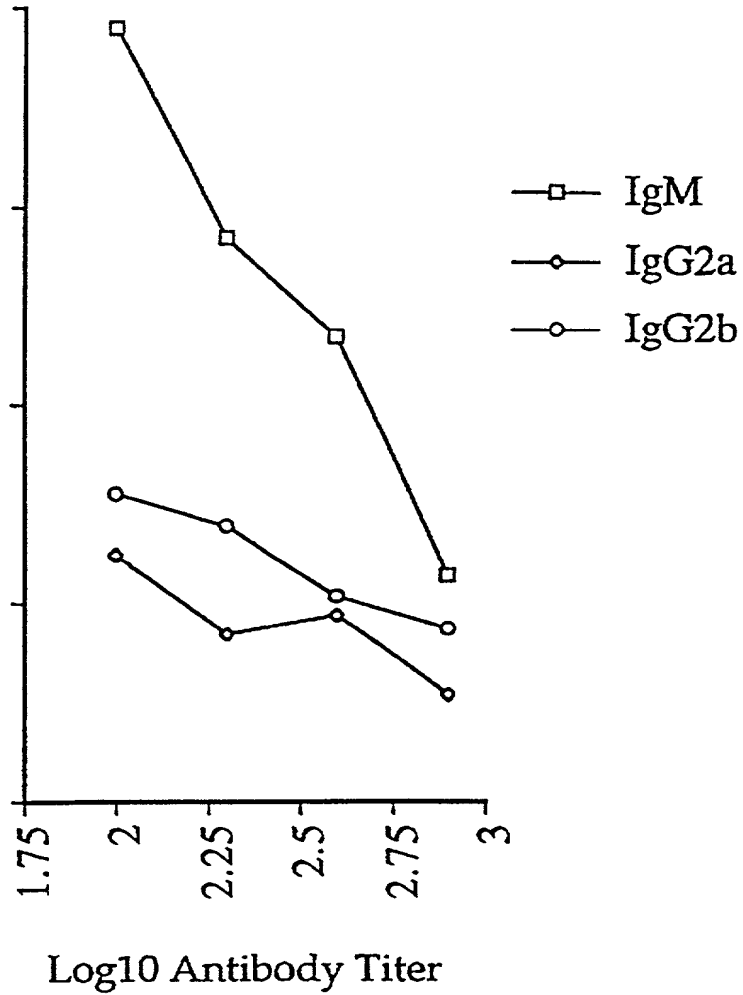


Figure 4

09/051685 589T5060

## DECLARATION, POWER OF ATTORNEY AND POWER TO INSPECT

As a below named inventor, I hereby declare:

that my residence, post office address and citizenship are as stated below next to my name;

that I verily believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the invention entitled:

the specification of which [check one(s) applicable]

X was filed April 17, 1998 as U.S. Application No. 09/051,685  
and was amended by Amendment filed \_\_\_\_\_ (if applicable); [or];  
\_\_\_\_\_ is attached to this Declaration, Power of Attorney and Power to Inspect;

that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above; and

that I acknowledge my duty to disclose information which is material to the examination of this application in accordance with Rule 56(a) [37CFR§1.56(a)].

**CLAIM UNDER 35 USC §119(e):** I hereby claim the benefit under 35 USC §119(e) of any United States provisional applications listed below:

Provisional Application No.

Filing Date

Day/Mo/Year

60/005,727

20 October, 1995

**POWER OF ATTORNEY:** As inventor, I hereby appoint **DANN, DORFMAN, HERRELL AND SKILLMAN, P.C.** of Philadelphia, PA, and the following individual(s) as my attorneys or agents with full power of substitution to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith: **Janet E. Reed, Ph.D., Reg. No. 36,252.**

**POWER TO INSPECT:** I hereby give **DANN, DORFMAN, HERRELL AND SKILLMAN, P.C.** of Philadelphia, PA or its duly accredited representatives power to inspect and obtain copies of the papers on file relating to this application.

SEND CORRESPONDENCE TO: **CUSTOMER NUMBER 000110.**

DIRECT INQUIRIES TO: Janet E. Reed, Ph.D..  
Telephone: (215) 563-4100  
Facsimile: (215) 563-4044

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

### SOLE OR FIRST JOINT INVENTOR

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First Middle Last

Signature [Signature]

Date 5-13-98

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Inventors: Sam D. Sanderson, et al.

For: COMPOSITIONS AND METHODS FOR ENHANCING IMMUNE RESPONSES MEDIATED BY ANTIGEN-PRESENTING CELLS

Page 2 of Declaration, Power of Attorney and Power to Inspect

THIRD JOINT INVENTOR (IF ANY)

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First Middle Last

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05051635 031993  
666780 589700

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant or Patentee: Sam D. Sanderson, Michael A. Hollingsworth and Richard A. Tempero

Application or Patent No.: Not Yet Assigned

Filed or Issued: Concurrently Herewith

For: COMPOSITIONS AND METHODS FOR ENHANCING IMMUNE RESPONSES MEDIATED BY ANTIGEN-PRESENTING CELLS

**VERIFIED STATEMENT (DECLARATION) SUPPORTING ANOTHER'S CLAIM FOR  
SMALL ENTITY STATUS [37 CFR §1.9(f) AND §1.27(d)] - NONPROFIT ORGANIZATION**

I hereby declare that I am making this verified statement to support a claim by the above-identified applicant or patentee for small entity status for purposes of paying reduced fees with regard to the above-identified invention described in

☒ the specification filed herewith

☐ U.S. Provisional Application No. \_\_\_\_\_, filed \_\_\_\_\_

☐ U.S. Patent No. \_\_\_\_\_, issued \_\_\_\_\_

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

FULL NAME OF ORGANIZATION:

TYPE OF ORGANIZATION

BOARD OF REGENTS OF THE  
UNIVERSITY OF NEBRASKA

- ☒ University or other institution of Higher education  
☐ Tax exempt under U.S. Internal Revenue Code [26 USC§501(a) and  
☐ Nonprofit scientific or educational under statute of state of U.S.A.

ADDRESS OF ORGANIZATION:

Regents Hall  
3835 Holdrege Street  
Lincoln, NE

- Name of State:  
Citation of Statute:  
☐ Would qualify as tax exempt under U.S. IRC if located in U.S.A.  
☐ Would qualify as nonprofit scientific or education under statute of state of U.S.A if located in U.S.A.  
Name of State:  
Citation of Statute:

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR §1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States code to the above-identified invention.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above-identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization known to have rights to the invention is listed below\* and the organization knows of no rights to the invention being held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR §1.9(c) if that person had made the invention, or by any concern which would not qualify as a small business concern under 37 CFR §1.9(d) or by a nonprofit organization under 37 CFR §1.9(e).

FULL NAME:

ADDRESS:

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

FULL NAME:

ADDRESS:

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

FULL NAME:

ADDRESS:

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

\* NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR §1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 CFR §1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing: Linda S. Johnson

Title in Organization: Registered Patent Agent, Department of Technology Development, University of Nebraska Medical Center

Address: 600 S. 42nd Street, Box 986099, Omaha, NE 68198-6099

*Linda S. Johnson*

Date: 4/17/98

05051685-081998

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant or Patentee: Sam D. Sanderson, Michael A. Hollingsworth and Richard A. Tempero

Application or Patent No.: 09/051,685

Filed or Issued: April 17, 1998

For: COMPOSITIONS AND METHODS FOR ENHANCING IMMUNE RESPONSES MEDIATED BY ANTIGEN-PRESENTING CELLS

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS [37 CFR §1.9(f) AND §1.27(b)] - INDEPENDENT INVENTOR(S)**

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR §1.9(c) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled described in

- ☐ the specification filed herewith  
☒ U.S. Application No. 09/051,685, filed April 17, 1998  
☐ U.S. Patent No. \_\_\_\_\_, filed \_\_\_\_\_

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR §1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR §1.9(d) or a nonprofit organization under 37 CFR §1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☐ no such person, concern, or organization  
☒ person, concerns or organizations listed below\*

FULL NAME: BOARD OF REGENTS OF THE UNIVERSITY OF NEBRASKA  
ADDRESS: Regents Hall, 3835 Holdrege Street, Lincoln, NE 68198

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☒ NONPROFIT ORGANIZATION

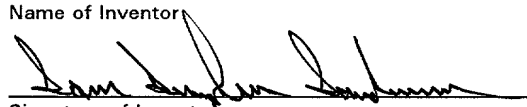
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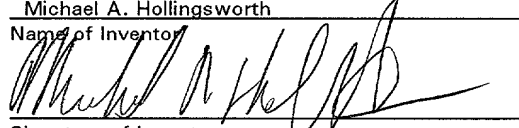
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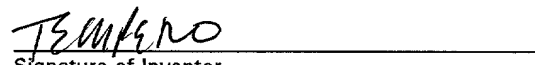
\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR §1.27)

I acknowledge the duty to file, in this application or patent, notification of any changes in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR §1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Sam D. Sanderson  
Name of Inventor  
  
Signature of Inventor  
5-13-98  
Date

Michael A. Hollingsworth  
Name of Inventor  
  
Signature of Inventor  
5/13/98  
Date

Richard A. Tempero  
Name of Inventor  
  
Signature of Inventor  
5-13-98  
Date

09051685-001998



# IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of: Sam D. Sanderson, et al.

Application No.: 09/051,685

Filed: April 17, 1998

For: **COMPOSITIONS AND METHODS FOR ENHANCING IMMUNE RESPONSES MEDIATED BY ANTIGEN-PRESENTING CELLS**

**10 Rec'd PCT/PTO 19 AUG 1998**

## Certificate of Mailing Under 37 C.F.R. §1.8(a)

I hereby certify that this correspondence is being deposited on August 17, 1998 with the United States Postal Service as first-class mail in an envelope properly addressed to COMMISSIONER OF PATENTS AND TRADEMARKS, Washington, DC 20231.

August 17, 1998

Date of Certificate

United States Department of Commerce  
Patent and Trademark Office  
Assistant Commissioner For Patents  
Box PCT  
Washington, D.C. 20231

Janet E. Reed, Ph.D.  
PTO Registration No. 36,252

Dear Sir:

08/24/1998 PVOLPE 00000133 09051685

In response to the NOTICE OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) dated July 24, 1998, a copy of which is enclosed herewith, we are completing the above-identified U.S. Patent Application of: Inventor(s): Sam D. Sanderson, et al.

For: **COMPOSITIONS AND METHODS FOR ENHANCING IMMUNE RESPONSES MEDIATED BY ANTIGEN-PRESENTING CELLS**

The complete application includes the following:

50 Pages of Specification  
24 Number of Claims  
4 Page of Abstract  
4 Sheet(s) of Drawings  
2 Pages of Declaration and Power of Attorney  
1.27 Number of Verified Statement(s) under 37 CFR §§1.9 and 1.27 to establish Small Entity Status  
0 Assignment Form, including Recordation Form Cover Sheet  
0 Preliminary Amendment

Filed April 17, 1998  
Filed April 17, 1998  
Filed April 17, 1998  
Filed April 17, 1998  
Filed concurrently herewith  
Filed concurrently herewith  
Filed  
Filed

The Fee has been calculated as follows:

CLAIMS AS FILED			
FOR	CLAIMS (AFTER AMDT.)	///////// ///////// /////////	NUMBER EXTRA
BASIC FEE			
EFFECTIVE TOTAL CLAIMS	24	-20	= 4
INDEPENDENT CLAIMS	2	-3	= 0
MULTIPLE DEPENDENT CLAIMS			
SURCHARGE FOR LATE FILING			
EXTENSION FEE (month) \$			

SMALL ENTITY	
RATE	FEE
395	0
11	0
41	0
125	0
65	65
	0
TOTAL	65

OTHER THAN A SMALL ENTITY	
RATE	FEE
790	
22	
82	
270	
130	
TOTAL	

[ ] Assignment Recording Fee to be charged to Deposit Account No. 04-1406.

[X] A check in the amount of \$ 65.00 is enclosed. In the event the check is improper, or the fee calculation is in error, the Commissioner is authorized to charge any underpayment or credit any overpayment to the account of the undersigned attorneys, Account No 04-1406.

[X] A duplicate copy of this sheet is enclosed.

[X] Please address all communications to the following Correspondence Address:

Janet E. Reed, Ph.D.  
DANN, DORFMAN, HERRELL AND SKILLMAN, P.C.  
1601 Market Street, Suite 720  
Philadelphia, Pennsylvania 19103-2307

Telephone (215) 563-4100

Facsimile (215) 563-4044

Direct all inquiries to the undersigned attorney.

Respectfully submitted,  
DANN, DORFMAN, HERRELL AND SKILLMAN  
A Professional Corporation

By: Janet E. Reed, Ph.D.  
PTO Registration No. 36,252